



USAID
FROM THE AMERICAN PEOPLE

ISSUE DATE: May 29, 2014

QUESTION DUE DATE: June 12, 2014 at 5:00 PM (local time – Kosovo)

RESPONSE DUE DATE: June 29, 2014 at 5:00 PM (local time – Kosovo)

SUBJECT: Funding Opportunity No. RFA-167-14-000013
for the Advancing Kosovo Together- Local Solutions Program

Dear Sir/Madam:

The United States Agency for International Development (USAID) through the Regional Contracting Office in Kosovo is seeking applications only from qualified locally registered Kosovo non-government organizations (NGOs) for a Cooperative Agreement to fund new program entitled “Advancing Kosovo Together – Local Solutions” (AKT–LS). USAID encourages applicants to propose creative collaborative partnerships with other Local Civil Society organizational, non-governmental organizations, educational institutions, business and professional associations, and other community organizations to implement activities under this program.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and/or submission of an application. Applicant who come under consideration for an award that have never received USAID funding will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls, and establish an indirect cost rate (if applicable). For the purposes of this RFA, the term “Grant” is synonymous with “Cooperative Agreement”; "Grantee" is synonymous with "Recipient;" and "Grant Officer" is synonymous with "Agreement Officer". The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

Eligible organizations interested in submitting an application are encouraged to read this RFA thoroughly to understand the type of program sought and the application submission and evaluation process. The chosen Recipient will be responsible for ensuring achievement of the program objectives. Please refer to the Funding Opportunity Description (Section I) for a complete statement of goals and expected outcomes.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, that are related to the implementation of the program and are in accordance with applicable cost standards put forth by the Office of Management and Budget (OMB) (22 CFR 226, OMB Circular A-122 for non-profit organization and OMB Circular A-21 for universities), may be paid to the Recipient of this award.

With this RFA, the objective of the Advancing Kosovo Together- Local Solutions is to work together with AKT – US Prime, which is a separate USAID/Kosovo instrument, in implementing the AKT program objectives. AKT–LS will also be accountable for assisting Kosovo civil society; improving economic opportunities in target municipalities, and improving service provision of

municipalities for addressing needs of their citizens; by promoting social, economic, and political engagement.

Subject to the availability of funds, USAID seeks to award the Cooperative Agreement competitively. USAID reserves the right to fund any or none of the applications submitted.

Competition under this RFA will be conducted in two phases:

- Phase I: Concept Note
- Phase II: Full Application

Each applicant shall initially provide USAID with a Concept Note as described in Phase I instructions. The Concept Note shall be competitively evaluated against the pre-determined evaluation criterion. The most highly technically qualified Concept Notes will be invited to submit Part II Full Application under this RFA. Unsuccessful applicants will be notified in a timely manner and provided written feedback.

Prospective applicants shall submit all Concept Notes in writing via email ONLY to mohammed@usaid.gov and uabdyli@usaid.gov no later than the time and date specified above. DO NOT SUBMIT CONCEPT NOTES VIA GRANTS.GOV, THEY WILL NOT BE ACCEPTED.

The preferred method of distribution of USAID assistance information is via the Internet. This RFA contains all necessary information, web links, and materials to submit a complete, concept note. Any additional information regarding this RFA will be furnished through an amendment(s) and will be communicated through Grants.gov. This RFA and any future amendments can be downloaded from the World Wide Web Address at <http://www.grants.gov>.

Additionally, in order to submit a full application, organizations must have a current registration in SAM.GOV. If an organization is currently not registered in SAM.GOV, Applicants are advised to immediately start the registration process in System for Award Management (SAM) database as it takes few days to get confirmed/registered and it is required for issuing payment to your company. The link to access the SAM website is: <https://www.sam.gov/portal/public/SAM/> .In addition, prior to award, establish a banking account that can receive funds in US currency. For issues with registering contact the Agency point of contact (POC) at uabdyli@usaid.gov.

Thank you for your interest in this USAID initiative. USAID looks forward to your organization's participation.

Sincerely,



Mohib Ahmed
Agreement Officer

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Executive Summary

Federal Agency Name: United States Agency for International Development (USAID), Regional Contracting Office, Kosovo

Funding Opportunity Title: Request for Application (RFA): Advancing Kosovo Together (AKT)- Local solution

Announcement Type: Initial

Funding Opportunity No.: RFA-167-14-000013

Catalog of Federal Domestic Assistance (CFDA) No.: 98.001

RFA Dates: All specified times in this RFA are Kosovo time. Competition under this RFA has two phase, Phase I Concept Note and Phase II Full Application (full application to submitted upon invitation only)

Phase I - Concept Note:

RFA Phase I Issuance Date:	May 29, 2014
RFA Phase I Questions Due:	June 12, 12:00 PM
RFA Concept Notes Due:	June 26, 2014, 5:00 PM
Notification to Successful/Unsuccessful Applicants:	July 11, 2014 5:00 PM

Phase II:

Invitation for Full application sent to Successful Applicants:	July 15, 2014, 5:00 PM
RFA Phase II Questions Due:	July 22, 2014, 5:00 PM
RFA Phase II Full Applications Due:	July 29, 2014, 5:00 PM
RFA Full Application Notification To Successful/Unsuccessful Applicants Provided:	August 8, 2014, 5:00 PM

Eligible Applicants

“Advancing Kosovo Together – Local Solutions” (AKT–LS) program will be fully competed among eligible organizations. Eligible applicants are only non-governmental organizations (NGOs) locally registered in Kosovo. For the purpose of this request, the term NGOs includes, civil society organizations, educational institutions, business and professional associations, and other community organizations.

In order to ensure that local Applicants possess adequate capacity to carry out the activities envisioned under this Request for Applications, the following eligibility criteria will be used to determine Applicants’ eligibility to receive an award. Only complete concept notes, submitted by eligible organizations, will be considered for award. The following eligibility criteria must be met by the date, upon which a concept note is submitted under the Request for Applications:

- Valid organizational registration (for all consortium partners), as a legal entity in Kosovo, with the Department of Registration and Liaison of NGOs within the Kosovo Ministry of Public Administration;
- Complete application, including all required content, annexes, and forms;
- Compliance with lobbying and terrorist financing acts;

- Good standing with fiscal and taxation authorities in Kosovo;

Points of Contact and Questions

The points of contact for this RFA are as follows:

Primary Point of Contact:
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SECTION I: Funding Opportunity Description

A. Background

USAID/Kosovo's Country Development Cooperation Strategy (CDCS) FY 2014 – FY 2018¹ is designed to support the achievement of the United States Government's central foreign policy objective of peace and stability in the Balkans. Under the CDCS, integration of minorities, especially Kosovo Serbs, into Kosovo society, is treated as both an independent Intermediate Result (IR), as well as a concern addressed across the entire portfolio.

From a political and economic point of view, integration is marked by greater political participation, increase in school enrollment and employment rates, and stronger linkages between non-majority and majority markets. The current environment emphasizes the importance of assisting the Government of Kosovo (GoK) to improve its ability to address non-majority issues in a sustainable manner.

More specifically, under the USAID/Kosovo Mission's 2014-2018 CDCS, Development Objective #1, the project will directly contribute to IR 3: Improved Integration of Ethnic Minorities and IR 2: Strengthened Effectiveness and Accountability of Assemblies, Administrations, and Election Processes.

The Advancing Kosovo Together - Local Solutions activity will build upon successes made thus far with previous and current USAID and other donor programs. It is important to ensure that the social and political gains made thus far are enhanced, and to demonstrate the benefits of positive engagement between Kosovo Serbs and the GoK. Much has been achieved, but several challenges remain and need to be addressed in order to consolidate the progress made thus far.

The goal of this activity is to foster positive and constructive inter-ethnic communication that can reach a broad range of people who have never engaged with the other, centered on common problems, needs, and solutions. The Advancing Kosovo Together- Local Solutions activity will focus on opportunities to get people thinking, talking and engaging with members of the other community. These include grassroots community exchanges, e.g. opportunities to better integrate non-majority and majority markets, including improved overall value chains to encourage long-term economic viability of businesses, and increased responsiveness of local administrations to the service needs of non-majority communities.

The theory of change behind this activity is that increased integration and participation of Kosovo Serbs in Kosovo's institutions and society is best achieved through the creation and expansion of opportunities for positive, inter-ethnic communication, understanding and appreciation of the other.

Besides integration of ethnic minorities, another integral aspect of this implementing mechanism is empowerment of youth and women in all program areas which is considered vital to the overall success of the program. In the same manner, gender-specific activities should be incorporated into all three program objectives to ensure that gender issues, particularly women's needs, are addressed. This includes women and youth participation in grassroots community and local economic development activities, including female and youth employment, as well as enhancing their engagement with local authorities.

B. Employing Local Solution

Under USAID/Kosovo's new CDCS, USAID Forward² is a cross-cutting initiative that changes the way USAID does business, particularly with new partnerships as there is an increased focus on sustainable

¹ CDCS http://www.usaid.gov/sites/default/files/documents/1863/CDCS_Kosovo.pdf

² For more on USAID Forward, see <http://www.usaid.gov/results-and-data/progress-data/usaaid-forward>.

results. USAID Forward is a comprehensive package of reform initiatives in seven key areas, including Local Solutions, as a focus area aimed at contracting and providing grants to more and varied local partners and creating partnerships with local contractors and grantees. USAID is streamlining its processes, increasing the use of small businesses and local civil society organizations, building metrics into its implementation agreements to achieve capacity-building objectives, and using host country systems where feasible, while simultaneously ensuring the successful implementation of its activities.

The Advancing Kosovo Together (AKT) - Local Solutions is envisioned as a local award that will contribute to the USAID Forward goals of strengthening host country capacity and improving aid effectiveness and sustainability by increasing the use of reliable partner country systems and institutions that will provide support to Kosovo. Specifically, this implementing mechanism will contribute to the USAID Forward goals of: 1) strengthening local civil society and private sector capacity, and 2) improving aid effectiveness and sustainability.

USAID/Kosovo intends to make this local award in conjunction with the Advancing Kosovo Together award with a U.S. Prime Contractor. The US prime Contractor will work jointly with the local awardee to implement the Advancing Kosovo Together program objectives. The U.S. Prime contractor, besides working in a collaborative manner with the local awardee, is tasked to assist in building the capacity of the selected local organizations (Local Solutions) to effectively implement USAID programs.

Through Local Solutions, the Mission intends to conclude an award with a leading Kosovar local civil society organization (CSO)³ that not only has the managerial capacity and experience to design, implement and manage a complex grants management and technical assistance program, but also can manage local sub-grantees that will support implementing activities within the AKT Program objectives. The AKT - Local lead organization shall demonstrate expertise and availability of technical capacities to assist our program counterparts in improving social, economic and municipal service provision, including infrastructure projects. In the absence of the needed technical expertise in all three sectors, the lead organization will need to complement said expertise through creation of a local consortium, by partnering with other local organizations that have a specialized technical expertise pertaining to specific activity objectives. This local consortium should include at least one Kosovo Albanian- and one Kosovo Serb civil society organization, even if those organizations have a multiethnic staffing composition. The organization that has the sub-award management capability will be the prime legal entity that will be contracted.

The AKT- Local Solutions instrument is envisioned to implement activities and target beneficiary communities in 16 partner Kosovo municipalities, including municipalities in northern Kosovo. These include communities in six (6) Serb majority municipalities in the south: Gračanica/Gračanicë, Klokot/Kllokot, Novo Brdo/Novobërdë, Partesh/Partesh, Ranilug/Ranillug, and Štrpce/Shtërpçë; and six (6) Albanian majority municipalities: Gjilan/Gnjilane, Istog/Istok, Klinë/Klina, Obiliq/Obiliç, Pejë/Peçë, and Vushtrri/Vuçitrn⁴ including four (4) municipalities in the north: North Mitrovica/Mitrovica e Veriut, Leposavić/Leposaviq, Zubin Potok/Zubin Potok, and Zvečan/Zveçan. The estimated number of non-

³ For the purpose of this PD, the term CSO includes non-governmental organizations (NGOs), educational institutions, private businesses, professional associations and other community organizations.

⁴ The first name is Serbian; the second is Albanian. The selection criteria for the six Albanian majority municipalities includes the size of the local Serb population, the political will of the Mayor and other municipal leaders, the level of influence the municipality has among other Kosovo Serb populations, the proportionality of other minorities living within the municipality and how well returnees have been integrated back into the local community.

majority citizens living in these 16 targeted municipalities is 146,000.⁵ Kosovo Albanian communities living in the targeted municipalities, estimated at 457,000, will also benefit from project activities.

In addition to the two instruments mentioned above, the Advancing Kosovo Together program (US Prime) and the Advancing Kosovo Together– Local Solutions (Local Prime), the USAID/Kosovo envisions introducing a separate funding instrument during Fiscal Year 2015 valued at \$1.6 million, which will contribute to the USAID Forward targets/indicators by issuing direct Government-to-Government (G2G) agreements to the 16 AKT program partner municipalities. These G2G awards will be established by USAID and each respective municipality.

In this respect, the AKT- Local Solutions, together with the AKT – US Prime instrument will support the mission by working with the partner/host local governments in providing needed staffing capacity and expertise (especially staffing expertise in implementing infrastructure projects, such as engineers and environmental compliance officers) to ensure implementation and monitoring of 16 – 50 planned G2G awards with the 16 AKT partner municipalities. The local Applicant will provide their rationale for the use of sub-grants and cost estimates under their proposal. This rationale should cover the average size and number of sub-grants to be made with a funding pool of approximately \$5 million, over three years.

C. Description of Activity

It is essential that the Advancing Kosovo Together - Local Solutions instrument, in cooperation with the Advancing Kosovo Together - U.S. Prime instrument, provide tailored capacity building assistance to the host country partner recipients. This assistance will include the technical assistance and grants component that would assist the local organizations to successfully fulfill the program objectives 1-3 specified above.

Close coordination, communication and partnership between the AKT - Local Solutions and the U.S. Prime Contractor is essential to the success of this program. The AKT- Local Solutions, through the assistance and cooperation with the AKT - U.S. Prime Contractor, will further develop its capacities to manage sub-grantees in order to meet USAID compliance requirements. In cases when AKT- Local Solutions is not able to issue grants due to the political sensitivities of the issues they are dealing with, the AKT - U.S Prime Contractor will perform that duty instead.

The AKT- Local Solutions award will be responsible for the sub-grants under all three objectives of the program. Also, the Local Solutions is expected to be willing and committed to build its capacity by working in collaborative fashion with the U.S Prime Contractor in order to be equipped with the capacity to meet donor compliance requirements by the end of the award.

The AKT- Local Solutions in cooperation with the AKT - U.S. Prime Contractor will ensure that all activities are collaboratively programmed in implementing the three objectives:

The relationship envisioned between the AKT - U.S. Prime Contractor and AKT - Local Solutions in regards to successful achievement of the three Objectives will consist of one taking the lead while the other providing a supporting role. For instance, the achievement of Objective 1 should be led by the U.S. Prime and supported by the Local because the Local does not have the same capacity or expertise to realistically achieve the change in laws or support GoK offices (i.e. Office of the Language Commissioner) necessary for successful achievement of Objective 1. Therefore, the U.S. Prime will lead

⁵ This number is based on joint estimates by the Municipal Community Affairs Offices, UNHCR Kosovo and OSCE Community Profiles. Note: Serbs largely boycotted the 2011 population census that was organized by the GoK and supported by the European Union Office in Kosovo (EUOK).

this Objective. Objective 2 and 3 could be led by the Local because of the opportunities present at the grassroots level. These objectives will be fully explained below.

However, due to the importance of close collaboration and partnership anticipated between the U.S. Prime and Local, these roles will ultimately be decided between the organizations after significant consultations during the work plan stages.

D. Context of the Activity

USAID is cognizant of different context, development challenges, and different levels of capacity between municipalities in the North and South of the Iber/Ibar River. In this respect, the local applicants are encouraged to articulate their observations and propose their vision of possible different technical approaches that they may choose to employ to the context and circumstances in the targeted municipalities.

E. Program Objectives

The AKT- Local Solutions awardee will work together with the AKT - U.S. Prime Contractor, which is a separate USAID/Kosovo instrument, in implementing the AKT program objectives. AKT – Local Solutions will also be accountable for assisting Kosovo civil society; improving economic opportunities in target municipalities, and improving service provision of municipalities for addressing needs of their citizens; by promoting social, economic, and political engagement through the following program objectives:

Objective 1: Improve autonomous, horizontal communication between: (a) Kosovo Albanian and non-majority communities; and (b) the GoK and non-majority communities;

Objective 2: Improve economic opportunities in target municipalities;

Objective 3: Increase the efficiency and capacity of target municipal administrations to respond to the needs of all their citizens;

The AKT- Local Consortium instrument under this implementing mechanism will:

1. Develop technical capacities of local beneficiaries based on the expected outcomes of this implementing mechanism, through delivery of technical assistance to local beneficiaries, in the three objective areas under this award;
2. Provide grants—from solicitation through award selection and management, including monitoring—to local beneficiaries based on Objectives 1 through 3(see illustrative sub-award below);
3. Create a forum whereby grant sub-awardees can network with each other and with other USAID program sub-awardees, to share information, peer learning and highlight integration successes to wider audiences;
4. Develop capacities of the local beneficiaries to handle USAID reporting requirements and procedures, including environmental reviews, develop and monitor program indicators, developing weekly, quarterly and annual reports;
5. Develop financial management systems and capacities of local beneficiaries for transparent financial reporting procedures and documents; and
6. Establish professional linkages with a variety of stakeholders.

Illustrative sub-awards:

These include sub-awards to local businesses, community based organizations (CBOs) and smaller CSOs aimed at creating the specified results. USAID/Kosovo will use these sub-awards to fund innovative approaches to mitigating ethnic divide in Kosovo—activities that improve inter-ethnic communication, open doors of understanding, and create appreciation of the other. Youth initiatives, activities targeted at women and children, media initiatives, such as theatre, reality TV, comedy TV, art and film will be highly encouraged. The local Kosovo consortium will manage sub-grants assisted by the AKT - Prime U.S. Contractor. The funding pool for sub-awards is estimated at approximately \$5 million.

OBJECTIVE 1: Improve autonomous, horizontal communication between: (a) Kosovo Albanian and non-majority communities; and (b) the GoK and non-majority communities.

The aim of this objective is to create opportunities that can help break down the invisible barriers that have communities in separate silos. A sustainable partnership approach is key—with local authorities, community based organizations (CBOs) and local residents working together to address priority needs. This objective will help the predominantly Kosovo Albanian civil service in the GoK to build bridges between themselves and non-majority communities by providing avenues for constructive and results-oriented engagement—aimed at improving the quality of life within non-majority communities and increasing communities’ overall sense of satisfaction.

It is important to create conditions that enable Kosovo non-majority communities to preserve, protect, and develop their identities, particularly their religious and cultural heritage and other rights guaranteed by the Constitution, including non-majority employment in the public sector. Creative solutions will be essential, such as activities that cut across ethnic and community boundaries.

Furthermore, a very low number of Kosovo Serbs work in public institutions, numbers far below the 10 percent non-majority set-aside by the law.

The different languages of communication pose a barrier to inter-ethnic interaction and cooperation. While the older generation often speaks both Serbian and Albanian, the younger generation rarely speaks both languages. This makes inter-ethnic communication a challenge; within the public and private sector, as well as day-to-day interaction at the grassroots level. Outside of Kosovo Serb majority municipalities, written material is often not available in Serbian language. There is a Law on the Use of Languages (protection of non-majority language rights); however, it needs secondary legislation for its implementation. The GoK has an ongoing effort to fully operationalize the Office of the Language Commissioner, which would address the current lack of implementation of the Law on Use of Languages.⁶

A significant portion of this objective consists of engaging in rehabilitation or renovation of community infrastructure projects. Out of the approximate \$5 million of the AKT Local Solutions grants, an estimated \$2.2 million should be allocated for these projects (as well as those intended under Objective 3), with individual contracts consisting of up to \$50,000 and compliant with ADS 303.3.30. Types of projects envisioned under this activity include: purchase of equipment, small park revitalization, cultural building renovation, street lighting and sidewalk installation, etc. These sub-grants, along with those under Objective 3 which will support municipal government priority projects, will form the basis of the AKT Local Solution sub-grants.

⁶ The Constitution of Kosovo states that Kosovo has two official languages: Albanian and Serbian. One of the tasks of the Language Commissioner is to address the facilitation and quality of Serb language in Kosovo.

Illustrative Tasks/Activities (2014-2017):

1. Participate in meetings and discussions organized by US Prime Organization in target communities around desired improvements to GoK service provision and potential citizen activities, and explain avenues to participate through grant-funded initiatives;
2. Support efforts through the international organization to assist the GoK with implementation of the Law on Use of Language (protection of language rights) at the local level, especially for Kosovo Serbs, to demonstrate that the government communicates in their language. Thus, support the establishment of bilingual signs for example;
3. Support efforts through the US Prime Organization to assist the GoK with implementing the policy on non-majority employment, at the local level;
4. Support efforts of the US Prime Organization to provide trainings, career opportunities and skill building for employees of under-represented communities; such as workshops to increase their representation in Kosovo's public sector (to assist the GoK to meet its quota of reserving a certain number of jobs in the public sector for minorities), with a view towards increasing non-majority employment. Women's participation should be ensured;
5. Support other initiatives and campaigns that would promote non-majority cultural and historic heritage, such as theater festivals, Week of Non-majority Cultures, etc;
6. Support efforts to foster non-majority community engagement and interaction with local authorities through the implementation of community/returnee initiatives co-funded by local authorities;
7. Support community/youth/civil society organizations initiatives to enrich the quality of life for the non-majority in targeted municipalities (for example, through the creation of sports and community cultural centers and activities);
8. Support neighborhood networks led by women to help identify, address and solve local problems, and to monitor GoK service provision as appropriate;
9. Provide short-term employment opportunities that engage community members in the construction, rehabilitation or renovation of community infrastructure that will leave tangible outcomes such as short-term employment and long-term community revitalization;
10. Provide support for inter-ethnic initiatives such as joint youth initiatives, language trainings, etc.;
11. Support efforts of the U.S. Prime Contractor to provide sensitivity/ethnic tolerance training to local authorities, youth, and other relevant groups, regardless of ethnicity;
12. Support information exchange through Kosovar-based sources of news for Kosovar Serbs, (e.g. a Kosovo based daily newspaper in Serbian language, support for joint art exhibitions or music festivals, jointly-produced TV documentaries of daily life, etc.);
13. Rehabilitation or renovation of community infrastructure projects (under \$50,000), such are: purchase of equipment, small park revitalization, cultural building renovation, street lighting and sidewalk installation, etc. to enrich the quality of life for the non-majority in targeted municipalities.

Expected Outcomes:

1. Increased satisfaction of targeted communities with GoK efforts in meeting the applicable non-majority requirements stated under the Constitution and adopted legislation.
2. Increased capacity of civic groups to advocate for and stage activities that protect the cultural and historic rights of non-majority communities.
3. Increased perception of non-majority communities on the responsiveness of their local authorities to their needs.
4. Increased capacity of non-majority community, including women, to obtain public sector positions.
5. Increased number of constituent groups joining grassroots initiatives to work on a common issue-based agenda.
6. Increased participation of non-majority in local government activities.
7. Increased number of community stakeholders in local development efforts.
8. Increased interaction between non-majority and majority communities.
9. Completed rehabilitation or renovation of community priority (including infrastructure) projects.

OBJECTIVE 2: Improve economic opportunities for non-majority communities in target municipalities through job creation and support to entrepreneurs

This objective will focus on encouraging economic growth and job creation in the private sector, including the provision of technical and other tangible support to non-majority-owned businesses. This program will also serve as a platform to increase women's employment and overall skills development within the three program components. Program activities will help improve gender parity and support skills improvement, employability and women's participation and leadership within the community, both in the public and private sector.

Non-majority (particularly Kosovo Serb) businesses are typically confined within non-majority areas, unable to increase their incomes or expand to provide new job opportunities. Thus, there is a need to seek avenues to create and expand multi-ethnic production and markets. Consultations have identified business associations and community groups as optimal conduits for achieving such goals, in addition to serving as avenues for disseminating economic assistance, as these foster a collective sense of ownership and accountability.

Youth are a priority population, with the highest tendency to migrate out of Kosovo; are the least employed by the Serbian parallel structures; tend to engage in more aggressive behavior, potentially leading to regional instability; and have proven most likely to embrace the entrepreneurial spirit essential for stimulating a vibrant economy.

Economic activities shall also be designed to foster income-generating projects for the most vulnerable returnees and members of displaced communities, particularly those living in the rural areas.

Local Solutions organization should identify those niche areas for economic growth and job creation in the private sector in conjunction with existing USAID programs: Establishment of the Empower Kosovo Credit Support Facility (KCSF), EMPOWER Kosovo Private Sector Competitiveness and Employment Generation activity, EMPOWER Kosovo through Local Solutions activity, EMPOWER Support for Economic Engagement in the North activity and New Opportunities for Agriculture (NOA).

Illustrative Tasks/Activities (2014 - 2017):

1. Support local economic growth, through provision of technical support and sub-grants, that will increase sales and household income;
2. Provide technical support and sub-grants that will increase availability of medium-term employment and income generating opportunities, including opportunities for returnees and members of displaced communities;
3. Foster youth, including female youth, employability by supporting youth apprenticeships and entrepreneurial start-ups and existing enterprises;
4. Support women-owned enterprises (existing and start-ups) to increase female employment and productivity;
5. Provide technical support and sub grants for expanding the market and increasing the sales of non-majority-owned businesses, particularly in majority markets;
6. Provide technical support and sub grants to businesses to expand their production and increase job opportunities, capitalizing on communities' comparative advantages;
7. Support "value chain events" to link producers to marketers;
8. Promote information sharing on loan opportunities and available business development services to non-majority-owned Small and Medium Sized Enterprises (SMEs) to allow greater SME capital investment in Kosovo;
9. Partner with Kosovo Chamber of Commerce (KCC), American Chamber of Commerce (AmCham) and/or the Alliance of Kosovo Businesses (AKB) to devise and implement innovative avenues for expanding the market base of non-majority businesses; and
10. Effectively link sub grantees, between themselves and with the businesses supported by other USAID programs, for purposes of networking and peer learning as well as to highlight successful outcomes and promote alternative, cross-ethnic identities (e.g. local civic pride, women of Kosovo, next generation, expert farmers, etc.) vis-à-vis various interested audiences and stakeholders.
11. Support local private-sector-led advocacy and initiatives that focus on creating short or medium-term economic and employment opportunities in sectors that have a visible impact on vast majority of targeted communities;

Expected Outcomes:

1. Increased local economic progress, such as rise in sales and household income.
2. Increased availability of medium-term employment and income generating opportunities, including opportunities for returnees and members of displaced communities.
3. Increased youth employment.
4. Increased youth and women's participation in the private sector.
5. Increased linkages between producers and markets in non-majority and majority areas.

6. Increased competitiveness⁷ of non-majority-owned businesses.
7. Increased access to information on availability of loans and business development services by non-majority -owned small and medium sized enterprises (SMEs) allowing greater SME capital investment in Kosovo.
8. Increased private-sector-led advocacy initiatives that focus on creating short or medium-term economic and employment opportunities in sectors that have a visible impact on the vast majority of the population in target communities.

OBJECTIVE 3: Increase the efficiency and capacity of target municipal administrations to respond to the needs of all their citizens.

This objective will help target municipalities to continue instituting practical and concrete initiatives that will strengthen the legitimacy of Kosovo’s local government system and improve service delivery in the targeted municipalities. It will build upon prior USAID assistance to local municipalities to provide services in the most efficient manner, using transparent processes, which resulted in the setting of many standards across all municipalities, such as the creation of annual work plans, Service Improvement Action Plans (SIAPs) and citizen engagement plans. Such assistance was particularly helpful for the newly created municipalities after 2009 local elections, which did not typically have experienced leadership.

After the establishment of new Serb majority municipalities as envisioned under the Ahtisaari Plan, the GoK supported their establishment financially through special support funds.⁸ The new municipalities have since made significant progress, although much work remains to be done.⁹ Many of the new municipalities are just now developing the competencies to drive small, local community development efforts on their own but often, still rely on donor support for technical and financial assistance. These municipalities often lack appropriate human, technical and managerial capacity to fulfill their mandate as local service providers.

The Agreement of Principles Governing the Normalization of Relations, reached in April 2013, between the GoK and the Government of Serbia (GoS) foresaw organizing municipal elections on November 3, 2013, in the four Northern Kosovo municipalities, as well. Election of the local government authorities in these municipalities, in accordance with the Kosovo legislation, opened the opportunity for the predominantly non-majority-populated municipalities in northern Kosovo to further halt isolation towards the GoK, and the international community, including the USG. At the same time, this will provide the GoK with an opportunity to ensure that the newly established municipal administrations and assemblies in the North receive strong support in building their human, technical and managerial capacity to fulfill their mandate in providing services to their citizens.

Consequently, gaining access to quality services remains an issue for many households and service provision falls short of citizen expectations in many areas; particularly in several Kosovo Serb communities located within Kosovo Albanian majority municipalities. For Kosovo Serb communities located within Kosovo Albanian majority municipalities, these issues are further compounded by the

⁷ Here, “increased competitiveness” is defined as the ability of non-majority producers to market and sell their products in majority markets.

⁸ There are six new Serb-majority municipalities: [Gračanica/Graçanicë](#), Klokot/Klllokot, [Novo Brdo/Novobërdë](#), [Parteš/Partesh](#), Ranilug/Ranillug and Mitrovica North/ Mitrovica e Verut. Although previously in existence, a legitimate GoK local government was established in [Štrpce/Shtërpçë](#) municipality in 2009 and in Leposavić/Leposaviq, Zubin Potok/ Zubinpotok and Zvečan/Zveqan in November 2013.

⁹ For more on the successes and challenges of Kosovo’s new municipalities, see “Successes and Challenges of the New Kosovo Municipalities, USAID, May 2012” available at <http://www.demi-ks.org/?cid=2.43>

unavailability of up-to-date information—including signage, municipal webpages, documents and other text—in the Serbian language. Thus, non-majority communities often experience weak outreach. Furthermore, several non-majority communities do not perceive their local administrations as working to meet their needs or investing in their future.

Accordingly, the frequency, quality, and regularity of Kosovo Serb interaction with Kosovo municipal authorities need to increase. Kosovo Serbs returning to pocket communities of Kosovo Serbs in Kosovo Albanian-majority communities should be well integrated and serviced by their municipal administration. While each municipality has an Office of Communities and Returns to address returnee and other community issues, these offices often have very little capacity to assist or address applicable cases.

In conjunction with those sub-grants under Objective 1, this objective will consist of supporting municipal government priority projects. Out of the approximate \$5 million of the AKT Local Solutions grants, an estimated \$2.2 million should be allocated for these projects (as well as those intended under Objective 1), with individual contracts consisting of up to \$50,000 and compliant with ADS 303.3.30. The types of projects envisioned under this activity include: purchase of equipment, establishment of the citizens service centers, youth center renovations, street lighting and sidewalk installation, road rehabilitation, parks and playgrounds rehabilitation etc. These sub-grants, along with those under Objective 3 which will support municipal government priority projects, will form the basis of the AKT Local Solution sub-grants.

Illustrative Tasks/Activities (2014-2017):

1. Conduct a training needs assessment (jointly with the US prime) and coordinated delivery of trainings (with more emphases on coaching and on the job training) for upgrading the technical knowledge and skills of respective municipal departments (with a special focus on municipal departments responsible for service provision, collection of the municipal own source revenues and transparent procurement);
2. Collect stakeholder input and offer advice on ways that municipal administrations may increase the quality of their services and ease access to these services through appropriate use of the language policy, with a view towards reducing the relevance of Serbian parallel structures within applicable communities;
3. Support municipal administrations, tailored in accordance to the specificities of the partner municipalities, in improving service delivery mechanisms that will increase quality and quantity of the municipal services provided;
4. Support municipalities in setting up development priorities (through the development plans), taking into account non-majority community needs;
5. Promote activities and initiatives, including support to strengthening the capacities of the civil society (in particular of youth and women) representatives who will contribute to increasing the role of youth and woman in decision-making processes;
6. Support for increasing own-source revenues and the collection rate, especially of the property tax through awareness raising campaigns and incentives.
7. Build upon previous USAID experience in supporting partner municipalities, especially in the four Kosovo North municipalities, to establish and/or improve citizen service centers (“one stop shops or CSCs”) for the provision of all administrative services within municipal competences, that will also contribute toward more transparency of the municipal service provision processes;

8. Support for increasing transparency in procurement (including e-procurement), decision-making, and internal operations;
9. Supplementing technical support with the ability to fund limited number of the municipal priority projects. Such projects, aside from meeting the communities' essential needs, will also increase the visibility of the municipal governments and assist them in fulfilling their role in providing better services for their citizens.
10. Provide technical assistance and staffing expertise (engineers, environmental officers) to support USAID/Kosovo in monitoring implementation of the direct awards (USAID Forward - government to government agreements) with the 16 partner municipalities;
11. Coordinate other activities to ensure that they provide support reintegration of returnees by liaising with the Municipal Office for Communities and Returns on activities such as trainings, case management, database management, small projects, income generating and employment projects, needs assessments and so forth.
12. Support for better utilization of different mechanisms of citizen participation and consultation and involvement of Municipalities Offices for Communities and Returns in influencing local decision-making regarding the choice of policies and programs targeted at local minorities and returnees.
13. Rehabilitation or renovation of number of the municipal priority projects (under \$50,000) such are: purchase of equipment, establishment of the citizens service centers, youth center renovations, street lighting and sidewalk installation, road rehabilitation, parks and playgrounds rehabilitation etc, which will contribute in providing better services for their citizens.

Expected Outcomes:

1. Increased quality and quantity of service delivery mechanisms in targeted municipalities.
2. Improved municipal ability to set development priorities (e.g. through the development of feasible plans, taking into account non-majority community needs, and empowering municipal staff to perform better).
3. Increased role of youth and women in local decision-making processes.
4. Increased municipal Own Source Revenues, resulting in enhanced municipal budgets.
5. Increased involvement of target Municipalities' Offices for Communities and Returns in influencing local decision-making regarding the choice of policies and programs targeted at local minorities and returnees.
6. Increased transparency of municipal service provision processes (including e-procurement), thereby reducing opportunities for fraud and corruption.
7. Enhanced community engagement with local authorities.
8. Increased collaboration between municipal governments, municipal associations, and local civil society organizations (CSOs) to improve municipal service delivery.
9. Completed rehabilitation or renovation of the municipal priority projects (under \$50,000), which will contribute in providing better services for their citizens.

F. Government to Government Awards with Partner Municipalities

USAID/Kosovo intends to sign and fund separate direct Government to Government (G2G) agreements with the 16 partner municipalities in 2015 which will directly contribute to the implementation of the activities foreseen under Objective three of the AKT program. These awards will be directly managed by USAID/Kosovo, separately from this implementing instrument through special set aside complementary funds in addition to the AKT US and Local awards. Nevertheless, the AKT - Local Solutions and the U.S Prime Contractor will provide technical assistance to the AKT partner municipalities to ensure they have the capacity to manage and administer USAID direct awards and implement municipal priority projects. The Local Solutions together with the U.S. Prime Contractor will support the process of identification of the municipal award selection criteria and related technical assistance, oversight and cooperation with the selected municipalities. One or both implementing partners may assist USAID/Kosovo to contemplate necessary technical or other support needed by the municipalities and support USAID in monitoring the municipalities implementing the G2G agreements.

There may be from 16 up to 50 separate G2G agreements with the 16 partner municipalities valued at \$1.6 million signed for implementation of the municipal projects and for the duration of the AKT implementing mechanism. These municipal projects are expected to be mainly infrastructure in nature.

Applicants should estimate and provide rationale for this proposal and also present the average size and number of sub-awards to be made with this USAID funding of approximately \$5 million.

G. Technical Support to Local Implementer

In order to conduct the above mentioned activities and achieve the related results, the AKT- Local Solutions prime organization under this mechanism should describe the interest areas for further development of its own capacities by the AKT - U.S. Prime Contractor in separate sections under each objective stated above. The U.S. Prime instrument (Contractor) under AKT Program will be accountable for assisting USAID/Kosovo to build the capacity of this local consortium in improving its internal operational systems and processes, and its technical capacity, managerial, and financial management capabilities for managing USAID awards.

H. Links to other Mission Activities

USAID funds several programs that aim to support the integration of Kosovo Serb community. These include support to non-majority owned private enterprises, various community development and capacity building initiatives, and to newly created municipalities. Whenever possible, activities under this new program will be developed in synergy with ongoing Mission programs. These include:

Democratic Effective Municipalities Initiative (DEMI) – DEMI program aims to promote good governance in Kosovo municipalities. This, four-year program, aims to strengthen and improve performance of the municipal executive and legislative bodies by applying coaching and on the job training in public management for all municipal assembly members and selected staff of municipal administrations. DEMI has partnered with and provides support to 25 “partner” municipalities (including all Kosovo Serb majority municipalities and Kosovo Turks majority municipality). DEMI will end in August 2014. The program consist of support components as well, such as the Incentive Fund designed to provide motivation for all municipalities to improve services, increase own source revenues and become more transparent. Also, the Support Fund which provides financial support to the partner municipalities to complement the technical assistance resulted in increased services by the municipal executive and legislative bodies.

Community Action Initiative Program (CAIP) – CAIP is a multi-sector program that supports community development and infrastructure in 40 communities, builds strong civil society organizations and improves economic and employment opportunities. This three-year program seeks to improve lives in Northern Kosovo and in all non-majority communities in Kosovo. CAIP will end in July 2014. Whereas CAIP is a community-oriented program with limited activities at the institutional level, this program envisions extensive support to institutions at the local level. Activities under CAIP and this new program will complement each other to achieve the Mission’s objective of full non-majority participation in Kosovo’s institutions and society.

Small Infrastructure for Water and Sanitation (SIWS) - SIWS program is implemented in Northern Kosovo municipalities on assisting community needs through small infrastructure assistance projects. SIWS will end in July 2014.

New Opportunities for Agriculture (NOA) – NOA promotes economic growth by developing a more competitive agriculture sector. NOA’s objective is to reduce imports of agricultural products, improve exports, and create a more robust agricultural sector in Kosovo that will directly and indirectly provide new job opportunities. It accomplishes this by increasing market linkages in the agricultural value chain, encouraging the growth of new, non-traditional crops, improved food safety, expanded access to credit and improved coordination within the agricultural sector. Since some of the planned interventions may involve the agriculture sector, program coordination with NOA’s activities will prove critical.

EMPOWER - EMPOWER Kosovo is an integrated approach that seeks to address long-term prospects of sustainable economic development by combining access to credit and more responsive and creative credit instruments with private sector demand in critical areas for competition and employment. The goal of this activity is to accelerate development of the private sector. Four separate activities will be implemented as part of the EMPOWER program:

1. Establishment of the Empower Kosovo Credit Support Facility (KCSF) - This activity will provide technical assistance during the organization, establishment, and initial management of the Kosovo Credit Support Facility. This activity will mobilize resources from the financial sector, donors, and the Kosovo government to create a public-private partnership that encourages increased lending to underserved sectors, in particular (but not limited to) the SME sector.
2. EMPOWER Kosovo Private Sector Competitiveness and Employment Generation activity – This activity will aim at increasing competitiveness in growth-ready sectors and facilitate inclusive job creation, while also developing the capacity of local service providers to support the Kosovo private sector and respond to USAID contractor requirements. This activity will provide SMEs with targeted, creative, and catalytic technical assistance, workforce training, and financing, including grants, throughout various stages of the value chain. In addition, this activity will focus on firm-level assistance and workforce development activities that result in rapid job creation, especially among targeted gender, non-majority, and other underserved groups beyond selected sectors.
3. EMPOWER Kosovo through Local Solutions activity – This activity will provide a contract to a local partner organization to collaborate with the above Empower Kosovo Private Sector activity in the delivery of services that achieve the shared objective of more competitive, growth oriented companies, while also facilitating inclusive job creation.
4. EMPOWER Support for Economic Engagement in the North activity – The purpose of this activity is to provide continued support for the northern part of Kosovo to promote economic development and generate employment to improve communication and enhance relations with the other regions in Kosovo. This activity will provide technical assistance and seed funding to existing and new beneficiaries in the northern part of Kosovo to increase economic activity, as

well as expand existing market linkages and establish new linkages. This activity will build on the experiences and successes of the previous and current activities in the northern part of Kosovo.

I. Program monitoring and evaluation

Monitoring and evaluation (M&E) are critical to the Advancing Kosovo Together – Local Solutions activity and broader policy and program learning in Kosovo. Applicants should propose an M&E framework that will allow for monitoring of progress in meeting the activity goals and objectives. This conceptual framework should integrate inputs, activities, outputs, outcomes, and impact under the activity. Applicants will establish realistic expectations for what the program can produce in its various phases of implementation. Applicants will establish base line data sets that will be important for program monitoring and evaluation.

USAID/Kosovo has developed a set of illustrative Performance Management Plan (PMP) indicators that collectively contribute to the IR 1.2 and IR 1.3 and these include:

- Average percent of citizens in targeted municipalities satisfied or highly satisfied with select services
- Increase in property tax collection, in targeted municipalities
- Number of citizens participating in municipal budget hearings in target municipalities
- United States Government (USG) -assisted facilitated events geared towards strengthening understanding and mitigating conflict between groups
- Percent change in the value of sales of minority-owned Small and Medium Enterprises (SME) that are assisted with USG funds
- Number of minority-oriented priority issues addressed by targeted local governments
- Jointly implemented minority-majority activities
- Participants in USG-funded programs supporting participation and inclusion of traditionally marginalized ethnic minority groups
- Number of minority small-scale enterprises linked to majority markets and larger-scale firms as a result of USG assistance to the value chain
- Full-time and full time equivalent (FTE) jobs created as a result of USAID assistance
- Number of women with increased leadership skills as a result of USG assistance.
- Number of local women participating in a substantive role or position in a peace building process supported with USG assistance
- Number of non-governmental constituencies built or strengthened with USG assistance
- Number of participants in USG funded programs supporting participation and inclusion of traditionally marginalized ethnic minority groups
- Number of USG-assisted facilitated events geared toward strengthening understanding and mitigating conflict between groups
- Number of USG-supported activities that demonstrate the positive impact of a peace process through the demonstration of tangible, practical benefits
- Number of Sub-national Government Entities receiving USG assistance to Improve their performance
- Number of Individuals who received USG-assisted training, including management skills and Fiscal Management, to Strengthen Local Government and/or Decentralization. (Male and Female)
- Number of Sub-national Governments Receiving USG Assistance to Increase their Annual Own-source Revenues

The Applicants should propose a set of illustrative indicators that they consider relevant to measure the progress under this activity. The illustrative Monitoring and Evaluation plan will be reviewed and

adjusted jointly with USAID and with the Advancing Kosovo Together - US Prime contractor during the review of the annual work plan.

J. Cross-cutting Principles

Stakeholder Participation and Dialogue: The program should promote active participation and support of key stakeholders within the target communities. Increasing inter-ethnic dialogue and relations comprises a key part of this program. As much as possible, the applicant should reflect this goal in all program areas. In order to obtain a full local buy-in, planned activities must reflect local realities and be based on locally identified priorities.

Ownership and Sustainability: All activities should be conducted in close cooperation and partnership with local counterparts to ensure their full ownership and future sustainability. The key concept/outcome to sustain include communities' shared experience of inter-ethnic cooperation, as linked to discrete and tangible improvements in everyday life, and the modes of behavior and social capital created through those shared experiences of jointly addressing development challenges. USAID expects that this program's legacy will primarily be in discrete outputs at the community level, as well as the experiences of participants, rather than in the mechanisms of project delivery. This lens should be used in analyzing the capabilities of Kosovo institutions and other local partners.

Youth: Kosovo has a very young population, with 50 percent of the population under the age of 25.¹⁰ The unemployment rate for this cohort ranges from 50 to 75 percent.¹¹ Many youth leave school before obtaining a high school diploma. Of those who graduate from high school, only 10 to 20 percent obtain a University degree.¹² The growing youth population, largely unemployed, disengaged and disconnected, presents a risk for instability in the region. The overall success of the program will depend on finding ways to integrate and engage them.

Gender: Gender parity in Kosovo has improved but there is room for more progress. Traditionally, women have not participated in community development activities in great numbers. Developing women's leadership skills and promoting the participation of women in community mobilization activities will require assistance. Women could also play a greater role in decision-making at the local level. Furthermore, women's participation in the private sector is minimal. This program can be used as a platform for developing women's entrepreneurial skills and promoting their active participation in the private sector. Activities to promote women's participation in the public sector are also warranted as there are twice as many males in the public sector as there are women.¹³ This disproportion is greater at the management levels. Gender integration must be done deliberately. It is important to also engage males within the household to change the traditional perceptions surrounding the participation of females in the workforce.

Program monitoring will include gender disaggregated data. Furthermore, in accordance with USAID's recognition that gender issues are important considerations in development, the awardee will continually assess program activities for gender implications and/or programming opportunities. The Mission recently completed a gender assessment and has listed the relevant recommendations from the assessment which are incorporated into the illustrative activities (objectives 1-3) of the AKT Local Solution Project Description and expected to be addressed by the awardee.

¹⁰ Government of Kosovo Employment Strategy, 2009

¹¹ Youth Employment Report: Kosovo Youth in Jeopardy, World Bank, 2008

¹² Human Development Report, UNDP, 2006

¹³ Ministry of Public Administration, March 2012

K. USAID Management Plan

The Agreement Officer's Representative (AOR) will be a member of the USAID/Kosovo Democracy and Governance (DG) Team. Along with the Recipient, s/he will be responsible for ensuring that opportunities for inter-office, inter-agency and cross-sector coordination are identified and maximized.

End of Section I

SECTION II: Award Information

A. Total Amount of funding

USAID expects to fund the program in the amount of \$7,000,000. This amount is subject to availability of funds. USAID reserves the right to determine the resulting level of funding for the award.

B. Type and Number of Award

USAID intends to award one (1) Cooperative Agreement pursuant to this RFA to the responsible applicant whose application conforming to this RFA offers the greatest value to the U.S. Government.

USAID reserves the right to fund any or none of the applications submitted. In addition, final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures.

C. Substantial Involvement

The intended purpose of the Agreement Officer Representative (AOR) involvement during the Cooperative Agreement is to assist the Recipient in achieving the supported objectives. The Agreement Officer has delegated the Substantial Involvement approvals listed below to the AOR. Such approval delegation does not extend to approvals for changes to the Program Description or the approved budget. Any changes to the Program Description or the approved budget shall only be approved by the Agreement Officer, after first being reviewed by the AOR.

USAID will be substantially involved in the Cooperative Agreement as follows:

- Approval of the Recipient's annual work/implementation plans
- Approval of specified key personnel and any changes
- Approval of quarterly reports
- Approval of any sub-awards, sub-grants and subcontracts
- Approval of the recipient's Monitoring and Evaluation plans
- Agency and Recipient Collaboration or Joint Participation

D. Start Date and Anticipated Period of Performance

USAID anticipates making an award not later than September 30, 2014. The period of performance anticipated herein is three years

E. Authorized Geographic Code

The authorized geographic code for the procurement of services and commodities is 937.

End of Section II

SECTION III: Eligibility Information

Eligibility Requirements

To be eligible for a Farmer to Farmer Cooperative Agreement(s) under this RFA, principal applicants must meet the below applicable eligibility requirements. Eligibility requirements apply to both categories unless otherwise specified. Any proposed deviation to the eligibility requirements will not be accepted.

1. Eligible Applicant

In order to ensure that local Applicants possess adequate capacity to carry out the activities envisioned under this Request for Applications, the following eligibility criteria will be used to determine Applicants' eligibility to receive an award. Only complete concept notes, submitted by eligible organizations, will be considered for award. The following eligibility criteria must be met by the date, upon which a concept note is submitted under the Request for Applications:

- Valid organizational registration (for all Consortium partners), as a legal entity in Kosovo, with the Department of Registration and Liaison of NGOs within the Kosovo Ministry of Public Administration;
- Complete application, including all required content, annexes, and forms;
- Compliance with lobbying and terrorist financing acts;
- Good standing with fiscal and taxation authorities in Kosovo;

End of Section III

SECTION IV: Application and Submission Information

A. Announcement

The method of distribution of USAID assistance information is via the Internet. This RFA contains all necessary information, web links, and materials to submit a complete, full application. Any additional information regarding this RFA will be furnished through an amendment(s) and will be communicated through Grants.gov. This RFA and any future amendments can be downloaded from the World Wide Web Address at <http://www.grants.gov>.

B. RFA Structure

The competition conducted under this RFA will be completed in two phases:

- Phase I: Concept Note
- Phase II: Full Application

Each applicant shall initially provide USAID with a Concept Note. The Concept Note shall be competitively evaluated against the pre-determined evaluation criterion. The most highly technically qualified Concept Notes will be invited to submit Phase II Full Application under this RFA. Unsuccessful applicants will be notified in a timely manner and provided written feedback. Phase II application instructions are provided in Annex A for informational purposes only. Only the applicant that is requested to submit a Phase II application should respond.

C. Phase I - Concept Note

Phase I instructions to applicants

Applicants will submit initial Concept Notes as required below:

- All information shall be presented in the English language.
- The Application shall use the Letter Format A4 (297mm x 210mm) (There are two exceptions to the aforementioned instruction: 1) budgets may be in a slightly smaller font (10 point) with smaller margins, and 2) tables may use smaller fonts and margins, however, must be easily readable).
- Times New Roman 12-point font using fixed pitch spacing per inch
- 1" margins on standard, letter-sized paper A4 (297mm x 210mm)
- Submissions must be made to Mr. Mohib Ahmed (mohahmed@usaid.gov) and Mrs. Urime Abdyli (uabdyli@usaid.gov)

Special Consideration

Issues that Applicants shall include in their Application, but will not be an evaluation criterion:

Gender: Besides the standard language of respecting gender equity and promoting women's empowerment, the Applicants will:

- Identify specific gender issues related to the proposed activities, including issues faced by both men and women;
- Demonstrate how gender sensitivity, equity, and women's empowerment will be integrated throughout the life of the project as core development objectives.

Please note that for RFA Phase 1, applicants only need to provide the following information:

CONCEPT NOTE (max. 7 Pages)

TECHNICAL (max. 5 Pages)

1. **COVER PAGE** (1 Page, does not count toward 5 pages) must contain:
 - Full legal name of Lead Consortium organization (as per registration certificate)
 - Date of registration and registration number's
 - Full name of applicant (in English)
 - Project title
 - Project duration
 - Project partners in the Local Consortium
 - Address of the Lead Consortium organization and other local Consortium Partners
 - Office telephone numbers
 - E-mail address
 - Web pages, if applicable
 - Contact person, title
 - Contact person's e-mail address
 - Contact person's telephone number
 - Certification Statement by Authorized Negotiator or Head of Organization:
 - "I hereby certify that the information contained herein and attached hereto is complete and accurate to the best of my knowledge"

2. METHODOLOGY AND PROPOSED APPROACH

This section will focus on how applicants propose to achieve the program objectives and will elaborate in their proposed approach the most effective and innovative ways to develop and achieve the objectives of the Program, including complementarities with the US Prime Implementer.

At a minimum, the approach must address the following:

- Situation analysis - containing a brief background on the specific development challenges and opportunities to be addressed by the program and includes a description of the target population.
- Proposed approach - elaborating the methods and technical plan to achieve the activities and anticipated results outlined in the three objectives required in the Program Description. The proposed approach should identify the capacity development needs of the main Applicant and Consortium Partners, and description of the plan for outreach and capacity building for smaller local organizations and expected impact. The approach should also articulate the sectors that will be technically assisted and funded through the sub-granting component.
- A clear articulation of an approach to stakeholder and donor coordination, and how the proposed program will integrate with mainstream donor efforts.
- Articulate the division of technical support tasks among Consortium partners and present a platform for joint implementation with the Advancing Kosovo Together - US Prime, as well as a technical approach that outlines effective integration of genders, non-majority

communities and vulnerable groups throughout all three objectives, activities and anticipated results.

3. OWNERSHIP AND SUSTAINABILITY

In this section, applicants will provide an overview on how their Program will ensure the sustainability of the support to grassroots community exchanges, opportunities to better integrate non-majority and majority markets, encourage long-term economic viability of businesses and increased responsiveness of local administrations to the service needs of non-majority communities. The Applicants must provide the rationale on how will this be sustained beyond the life of the award.

At a minimum, this section must address the following:

- Short analysis of the capabilities of target Kosovo institutions and other local partners.
- Proposed cooperation and partnership with local counterparts to ensure their full ownership and future sustainability.
- Projected outcomes to sustain shared experience of inter-ethnic cooperation, as linked to discrete and tangible improvements in everyday life, changed behavior, and increasing trust, created by jointly addressing development challenges.
- Projected outputs at the community level, as well as the foreseen experiences of participants.

4. ORGANIZATIONAL EXPERIENCE

In this section, Applicants will describe their team's organizational experience and structure to fulfill the requirements of the program.

At a minimum, this section must address the following:

- Qualifications, technical expertise, experience and professionalism of proposed Consortium partners and personnel, especially experience in managing and delivering sub-award grant programs of a similar size and complexity;
- A Consortium staffing plan that clearly defines roles and responsibilities, key personnel descriptions and staffs positions with suitably qualified personnel, offering an optimal mix of expertise adequate for the timely achievement of results; [no CV's required at this stage]
- Demonstrated experience in soliciting, awarding, and overseeing the implementation and financial management of sub-grants with the program budget of at least \$3 million and a minimum of 30 sub-grants provided.
- Demonstrated experience in carrying out activities throughout the whole territory of Kosovo, as opposed to working in only one region/municipality.

5. Past Performance

See ANNEX 2 below.

COST SUBMISSION

Budget (1-2 Pages)

The applicant must submit the illustrative cost and brief narrative that would describe a general budget lines for the program.

Cost Category	Yr1	Yr2	Yr3
Direct Costs			
Personnel			
Fringe Benefits			
Travel			
Equipment			
Supplies			
Contractual			
Total Direct Costs			
Indirect Costs			
Total Project Budget			

6. ANNEX 1 -- Formal Registration (does not count towards page limit)

Provide a copy of your organizations' formal registration, and Consortium partners, as evidence of valid legal status.

7. ANNEX 2 -- Past Performance (does not count towards page limit)

List the number of contracts, grants, and cooperative agreements which the lead organization, and Consortium partners, implemented involving similar or related programs over the past three years. Provide the following information:

- Name, address, current telephone number and email address of responsible representative(s) from the organization for which the work was performed (donors and/or beneficiaries);
- Contract/grant name and number, if any, annual amount received for each of the last three years and beginning and end dates; There is no need to submit copies of contracts, agreements or grants in their entirety; and
- Brief description of the past project/assistance activity.

8. ANNEX 3 -- Tax Verification Certificate (does not count towards page limit)

Provide a copy of your organizations' Tax Verification certificate, as evidence of your status with fiscal and taxation authorities in Kosovo. The certificate can be obtained electronically at <http://evertetimi.atk-ks.org/>.

End of Section IV

SECTION V: Application Review Information

RFA Phase I - Concept Note

Phase I Evaluation Criteria

The Concept Note will be evaluated in accordance with the Technical Evaluation Criteria set forth below. If a Concept Note is recommended for RFA Phase II following the technical review, a Full Application and Cost Application will be requested and cost negotiations will be conducted based on a detailed budget (to be requested upon notification of successful applicant status).

Applicants should note that the technical evaluation criteria serve to: (a) identify the significant issues which applicants should address in their applications; and (b) set the standard against which all applications will be evaluated. **To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the evaluation criteria.** While Application narrative should focus on evaluation issue related materials in specific sections, the evaluation may draw from other sections of the Application where material is relevant to a specific evaluation criterion. Awards will be recommended based on the ranking of applications according to the technical evaluation criteria and the quality of the response to these criteria.

The following evaluation factors will be used to evaluate all Concept Notes.

Technical Evaluation Criteria

A Technical Evaluation Committee (TEC), using the criteria shown in this Section, will evaluate concept notes. Applicants should note that these criteria:

- Serve as the standard against which all applications will be evaluated; and
- Serve to identify the significant matters which Applicants should address in their Applications.

The Government will evaluate responsive Concept Notes on a best value basis, with technical merit more important than cost. The relative importance of each criterion below is listed in descending order of importance; whereby, the Methodology and Proposed Approach is the most important, Sustainability and Organizational Experience are equally important but not as important as the Methodology and Proposed Approach, and Past Performance is least important.

1. Methodology and Proposed Approach

- The degree to which the technical approach depicts the understanding of development challenges and opportunities to be addressed by the program - including target population.
- The degree to which the technical approach reflects realistic methods and technical plan to achieve the activities and anticipated results, and articulates the sector-specific assistance funded through sub-granting component optimally addressing the need for technical assistance in three main areas (CSO support, business support, local government support), identifies the capacity development needs of the main Applicant and its Consortium partners, and capacity building needs of future smaller local sub-awardee organizations.
- The degree to which the Applicant's approach depicts the understanding realistic stakeholder and donor coordination and the overall integration of the proposed program with mainstream donor efforts
- The degree to which the Applicant clearly articulates the division of the tasks, related to the

technical support, between Consortium partners and presents a platform for coordination (joint implementation of the activities) with the AKT - US Prime; and the technical approach that outlines effective integration of gender, minority communities and vulnerable groups throughout all three objectives, related activities and anticipated results..

2. Sustainability

- The degree to which the Applicant depicts a realistic understanding of the capabilities of target Kosovo institutions and other local partners.
- The degree to which the Applicant clearly articulates their envisioned cooperation and partnerships with local counterparts to ensure full ownership and sustainability.
- The degree to which projected program outcomes depict envisioned sustaining of shared experience of inter-ethnic cooperation and are linked to discrete and tangible improvements in everyday life.
- The degree to which the Applicant clearly articulates project outputs at the community level, as well as the foreseen experiences of participants.

3. Organizational Experience

- Demonstrated qualifications, technical expertise, experience and professionalism of the Applicant and the proposed Consortium partners and personnel, especially experience in managing and delivering sub-award grants programs of a similar size and complexity;
- The extend that staffing plan clearly defines roles and responsibilities, key personnel descriptions and staffs positions within the Consortium with suitably qualified personnel, offers an optional mix of expertise and are adequate for the timely achievement of results.
- Proven experience of three to five years of in soliciting, awarding, and overseeing the implementation and financial management of sub-grants, with the program budget of at least \$3 million and a minimum of 30 sub-grants provided.
- Demonstrated experience in carrying out activities throughout the whole territory of Kosovo, as opposed to working in only one region/municipality.

4. Past Performance

- Demonstrated organizational past performance in successfully implementing similar projects through provision of past performance reference information covering the past three (3) to five (5) years

End of Section V

SECTION VI: Award Administration Information

A. Award Notices

1. Applicants will be notified in writing via email of their application status (successful or unsuccessful) upon completion of the application review process.
2. The Apparently Successful Applicant will be notified of a successful application status and requested to provide a Detailed Budget, Branding and Marking Plan, and Certifications, Assurances, and Other Statements of the Recipient. Notification of successful application status is *not* an authorization to begin performing proposed activities or performance in general.
3. Applicants notified of an unsuccessful application will not be considered further for an award under this RFA. Applicants with an unsuccessful application are advised that a debriefing may be requested within 10 working days after the applicant receives the notice. The unsuccessful applicant may send a written request for a debriefing to mohahmed@usaid.gov and uabdyli@usaid.gov. Debriefings may be provided at the discretion of the AO and will be provided in writing electronically.

B. Authority to Obligate the Government

The **Agreement Officer** is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

C. Administrative and National Policy Requirements

1. Standard Provisions

If awarded a cooperative agreement under this RFA, the Recipient shall adhere to and govern itself under the Mandatory Standard Provisions and the Required As Applicable Provisions for Non-U.S. NGOs. Links to these Standard Provisions can be found in *Section VIII. Other Information "Regulations and References"*.

2. Environmental Compliance Terms

The Advancing Kosovo (AKT) – local Solution program will be in compliance with USAID and USG environmental procedures. The request for categorical exclusion has been approved by the Bureau Environmental Officer. If there are any programmatic changes affecting the environment during project implementation, the AOR will ensure that the environmental requirements are met. See IEE attachment for additional information.

End of Section VI

SECTION VII: Agency Contacts

The Agency points of contact for this RFA are as follows:

Primary Point of Contact:
Mohib Ahmed, USAID/Kosovo
Agreement Officer
mohahmed@usaid.gov

Alternate Point of Contact:
Urime Abdyli, USAID/Kosovo
Agreement Specialist
uabdyli@usaid.gov

End of Section VII

SECTION VIII: Other Information

A. Regulations and References

Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:

<http://www.usaid.gov/policy/ads/300/303mab.pdf>

22 CFR 226

http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html

22 CFR 228 USAID Source, Origin, Nationality Regulations:

http://www.access.gpo.gov/nara/cfr/waisidx_01/22cfr228_01.html

OMB Circular A-122

<http://www.whitehouse.gov/omb/circulars/a122/a122.html>

OMB Circular A-110

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

SF-424 Downloads

http://www.grants.gov/agencies/aapproved_standard_forms.jsp

Development Clearinghouse:

http://dec.usaid.gov/submit_doc.cfm

Requirements and standard formats/logos for USAID branding requirements:

<http://www.usaid.gov/branding/assistance.html>

PVO Registration Instructions

<http://idea.usaid.gov/ls/pvo-narp>

System for Award Management

www.sam.gov

Certifications, Assurances and Other Statements of the Offeror

<http://inside.usaid.gov/ADS/300/303mav.pdf>

Information sources on environmental health and safety

USAID's general launching point for information relating to environmental assessments and guidelines are at:

- http://www.usaid.gov/our_work/environment/compliance/index.html
- USAID's list of key contacts (Environmental Officers) in Bureaus and Missions at http://www.usaid.gov/our_work/environment/compliance/officers.html#aec

- USAID's Environmental Training Course Materials, including Title 22 of the Code of Federal Regulations, Part 216 that governs the U.S. government's environmental impact abroad. The site also contains various forms and templates relating to Initial Environmental Examinations. <http://www.encapafrika.org/EPTM.htm>
- State Dept., International Travel Information: http://travel.state.gov/travel/travel_1744.html.
- CDC, Travelers' Health (by destination): <http://www.cdc.gov/travel/>.
- Regulating Pesticides, International Issues: <http://www.epa.gov/oppfead1/international/#13>
- The International Programme on Chemical Safety (IPCS): <http://www.who.int/ipcs/en/>.

ANNEX A - Full Application Instructions and Evaluation Criteria

Only upon invitation by USAID shall a recipient submit a full application to the Agreement Officer.

A. Application Instruction

The apparently successful applicant will submit their full application as required below:

- All information shall be presented in the English language.
- The Application shall use the Letter Format A4 (297mm x 210mm) (There are two exceptions to the aforementioned instruction: 1) budgets may be in a slightly smaller font (10 point) with smaller margins, and 2) tables may use smaller fonts and margins, however, must be easily readable).
- Times New Roman 12-point font using fixed pitch spacing per inch 1” margins on standard, letter-sized paper A4 (297mm x 210mm)
- Submissions must be made to Mr. Mohib Ahmed (mohahmed@usaid.gov) and Mrs. Urime Abdyli (uabdyli@usaid.gov)

Special Consideration

Gender: Besides the standard language of respecting gender equity and promoting women’s empowerment, the Applicants will:

- Identify specific gender issues related to the proposed activities, including issues faced by both men and women;
- Demonstrate how gender sensitivity, equity, and women’s empowerment will be integrated throughout the life of the project as core development objectives.

Please note that for RFA Phase II, applicants only need to provide the following information:

FULL APPLICATION(max. 20 pages)

a) COVER PAGE (1 Page, does not count toward 20 pages) must contain:

- Full legal name of Lead Consortium organization (as per registration certificate)
- Date of registration and registration number’s
- Full name of applicant (in English)
- Project title
- Project duration
- Project partners in the Local Consortium
- Address of the Lead Consortium organization and other local Consortium Partners
- Office telephone numbers
- E-mail address
- Web pages, if applicable
- Contact person, title
- Contact person’s e-mail address
- Contact person’s telephone number
- Certification Statement by Authorized Negotiator or Head of Organization:
 - “I hereby certify that the information contained herein and attached hereto is complete and accurate to the best of my knowledge”

1. METHODOLOGY AND APPROACH

In this section, the apparently successful applicant will focus on full application of how they propose to achieve the program objectives and will elaborate in their proposed approach the most effective and innovative ways to develop and achieve the objectives of the Program, including complementarities with the US prime implementer. The applicant will respond to the feedback provided within the Concept Note review and address weaknesses, significant weaknesses, and other areas raised by the TEC. The applicant shall submit a draft work-plan and a draft Performance Management Plan as separate annexes.

2. SUSTAINABILITY

In this section, the apparently successful applicant will further describe their approach to ensure the sustainability of the support to grassroots community exchanges, opportunities, better integration of non-majority and majority markets, encouragement of long-term economic viability of businesses and increased responsiveness of local administrations to the service needs of non-majority communities. The applicant will respond to the feedback provided during the Concept Note review and address weaknesses, significant weaknesses, and other areas raised by the TEC.

3. ORGANIZATIONAL EXPERIENCE

In this section, the apparently successful applicant will further describe their own implementation capacity, qualifications, experience and expertise.

The applicant will respond to the feedback provided within the Concept Note review and address weaknesses, significant weaknesses, and other areas raised by the TEC, and provide additional documentation as Annexes, as requested by USAID including but not limited to resumes and position descriptions of key personnel.

4. ANNEX 1 — Key Personnel CV (no more than two pages each)

The Recipient must submit CVs for key personnel which should not exceed more than two pages each

5. ANNEX 2 — Detailed staffing plan and position descriptions

The Recipient should submit a chart for proposed staffing plan covering all planned positions. The recipient must be able to demonstrate a sound staffing plan with clear roles and responsibilities.

6. ANNEX 3 — Draft Work-plan and Performance Management Plan

A draft proposed Annual Work Plan for the Recipient AKT-Local Solution Program shall be included as part of the application in response to Part II of this RFA. This draft shall be revised, as appropriate, and finalized in consultation with the USAID Agreement Officer Representative (AOR) for the AKT –Local Solution Program within three months of the award.

Work Plans and reports shall be prepared to be available for public reference and limited distribution. Financial or other proprietary information can be provided in an Addendum for USAID and noted in the Work Plan or report.

- a) **Work Plan** A draft work plan for the first 12 months of the project will be submitted as part of the application. The successful applicant shall submit an updated annual work plan within 30 days of start of the program to the USAID/Kosovo-designated Agreement Officer's Representative (AOR) for review and approval. Additionally, the successful applicant shall submit weekly update notes every week. The Work Plan will include major activities that will be undertaken, rationale behind these activities, anticipated results of these efforts and how they will be measured, any outside technical assistance that may be required to complete the activity, and a timeframe for when activities will commence and end. An annual work plan will be submitted annually by no later than 30 days into the new period and each year thereafter.
- b) **Monitoring and Evaluation (M&E) Plan:** The Applicant must submit a draft Performance Management Plan (PMP) inclusive of realistic and appropriate performance indicators and a plan for the methodology to be used for its performance monitoring system. The PMP should serve to track and document the targets and actual performance data relative to the performance indicators under each activity component and objective. The Applicant should demonstrate the ability to develop and implement a Performance Monitoring Plan (PMP) that is thorough, clear, and feasible and that covers expected implementation over the life of the award. The Applicant should also elaborate on how the PMP will be used as management tool for both decision making and reporting purposes. The PMP submitted with the application is considered tentative and subject to revision after the award. A revised PMP detailing all plans for monitoring and evaluation (M&E) and including Performance Indicator Reference Sheets (PIRS) for each indicator will be finalized and submitted in the first 45 days after receipt of comments from USAID on the PMP submitted with the application.

Quarterly reporting against the PMP is due with a Quarterly Program Performance Report, 30 days after the end of each quarter.

7. ANNEX 4 — Draft Branding and Marking plan

It is a Federal statutory and regulatory requirement that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity. Accordingly, the “apparently successful applicant” will be required to submit a branding and marking plan. The apparently successful applicant’s proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements in 22CFR226.91 at <http://www.gpo.gov/fdsys/pkg/CFR-2011-title22-vol1/xml/CFR-2011-title22-vol1-part226.xml>. The Agreement Officer evaluates the apparently successful applicant’s Branding Strategy and Marking Plan (including any requests for exceptions) for approval, consistent with the provisions “Branding Strategy,” “Marking Plan,” contained in the Certifications, Assurances, Other Statement of the Recipient and Solicitation Standard Provisions, and “Marking and Public Communications Under USAID-funded Assistance” contained in the USAID ADS 320 at <http://transition.usaid.gov/policy/ads/300/320.pdf>

8. ANNEX 5 — Draft Environmental Compliance plan (SEE ATTACHMENT-IEE)

In accordance with USAID’s recognition of the importance of protecting the environment, and human health and welfare, the Recipient shall look for environmental implications or opportunities in the Activity. This will include an adequate review of environmental considerations that normally requires a relatively detailed description and analysis of planned

project interventions, description of project site environmental parameters, identified adverse impacts and recommended mitigation and monitoring measures, and if appropriate local public (beneficiary community) participation in the review process.

The Recipient will be required to implement the provisions of the Initial Environmental Examination (IEE) prepared by the Mission and cleared by the USAID Acting E&E Bureau Environmental Officer on August 19, 2013 (attached). The Recipient must have the capacity to conduct environmental reviews as specified in the IEE for all activities not categorically excluded, implement appropriate mitigating actions, and conduct adequate monitoring to ensure environmental concerns are addressed. The Recipient will be responsible for ensuring that all requirements of USAID's environmental regulations at 22 CFR 216 are met, and an amendment to the approved IEE is submitted in timely manner, as will be approved by the Bureau Environmental Officer. 1(a). The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Agreement. 1(b). In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern. 1(c). No activity funded under this Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

2) Negative Determinations with conditions: (see IEE dated June 18, 2013 attached, and the conditions and Mitigating Measures included therein.) 3) Positive Determination: As Applicable 4(a). Unless the approved Regulation 216 documentation contains a complete Environmental Mitigation and Monitoring Plan (EMMP) or a project mitigation and monitoring (M&M) plan, the Contractor shall prepare an EMMP or M&M Plan describing how the Contractor will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness. 4(b). Integrate a completed EMMP or M&M Plan into the initial work plan. 4(c). Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment. In accordance with 22 CFR 216.3(a)(2)(iii), the Recipient will follow USAID/Kosovo's initial environmental examination (IEE) process. The IEE establishes two threshold determinations: (1) a categorical exclusion for technical assistance, studies and training program activities, meetings, workshops, consultations, and document and information transfers; and (2) a negative determination with conditions for planned interventions with potential for adverse environmental impacts, such as small scale road, bridge, water supply, and facility infrastructure rehabilitation activities and donation of equipment for SMEs and agricultural-related associations. While proposed AKT Local Solutions activities, such as those associated with utilizing small infrastructure projects to mitigate conflict, are not expected to result in actions that negatively affect the environment, the Recipient will include best management practices in all its interventions. The Recipient will

develop and submit an overall environmental monitoring and mitigation plan(EMMP) for USAID approval within 60 days of contract award. Using the EMMP recommendations and USAID/Kosovo's Environmental Review System, before initiating small infrastructure projects which would not qualify for a categorical exclusion, the Recipient's will implement an environmental review process and, as appropriate, complete an environmental due diligence checklist to identify and assess potential environmental impact, document environmental issues and concerns, eliminate or reduce potential adverse impact through relevant mitigation measures, and monitor the mitigate the impact of these measures. The Recipient will include environmental compliance language in all sub-awards and subcontracts, and will monitor program activities and interventions for unforeseen consequence ensuring implementation that were not originally identified and reviewed, in accordance with 22CFR 216. For any new interventions outside of the scope of the approved environmental documentation, the Recipient will prepare an amendment to the documentation for USAID review and approval

COST SUBMISSION

Cost Effectiveness and Cost Realism

Note: Most negotiations stall due to insufficient and/or unverifiable cost and pricing data. The recipient should provide as detailed cost breakdown and cost narrative as practicable. Please provide as much other than certified cost and pricing data necessary for the Agreement Officer to find costs realistic and reasonable. Lack of details in this section will lead to longer procurement time.

1. SF-424A

2. Cost Application:

- a. There is no page limit for the cost application. However, Applicants are encouraged to be as concise as possible and still provide the necessary details.
- b. The Cost Application shall be completely separate from the Technical Application.
- c. The Cost Application Detailed Budget shall be formatted in Microsoft Excel 2010. Budgets shall display all formulas (to illustrate method of calculation) with unlocked cells.
- d. The Cost Application Budget Narrative shall be formatted in Microsoft Word 2010.

3. Budget Narrative and Detailed Budget Format:

The contents of the Budget Narrative and Detailed Budget documents shall mirror and reflect one another. The Budget Narrative shall have appropriate headings that match those of the Detailed Budget. For example, the Budget Narrative shall explain how salaries and wages were determined and give the appropriate rational under the Salaries and Wages heading and the Detailed Budget shall display the estimated costs for salaries and wages under the Salaries and Wages budget line item. The Budget Narrative shall explain in as much detail as possible how costs were derived and the methodologies used to derive and estimate costs. The Detailed Budget shall display the estimated costs proposed for each budget line item.

Budget Narrative Contents

To support proposed costs for your project, all applicants must provide a detailed Budget Narrative for all costs that explain how the costs were derived and the methodologies used. The Budget Narrative must provide:

1. The breakdown of all costs associated with the program.

2. The breakdown of all costs according to each partner organization involved in the program.
3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
4. The breakdown of any financial and in-kind contributions of all organizations involved in implementing this program.
5. Potential contributions of non-USAID or private commercial donors to this program (cost share) in accordance with 22 CFR 226.23 and/or OMB Circular A-110.
6. Procurement plan for commodities, goods and services (if applicable).

Detailed Budget Contents

The Detailed Budget should be broken out by the projects implementation period (e.g. If the project implementation period is for five years, the applicant would propose a Detailed Budget which explains the project costs for a total of five years).

The Detailed Budget Excel Worksheet should contain the following budget categories at a minimum:

1. **Salary and Wages:** Direct salaries and wages should be proposed in accordance with the Applicant's personnel policies; USAID requires that salary daily rates are calculated 260 working days per year. The Budget Narrative should explain how daily rates are calculated.
2. **Fringe Benefits:** If the Applicant has a fringe benefit rate that has been approved by a U.S. Federal Agency, such rate should be used and evidence of its approval shall be provided. If a fringe benefit rate has not been so approved, the Application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits as prescribed by the governing laws and regulations in Kosovo (e.g. health insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.
3. **Travel and Transportation:** The budget should indicate the number of trips, domestic, regional, and international, and the estimated costs. Specify the origin and destination for proposed trips, duration of travel, and number of individuals traveling. Per Diem shall be based on the Applicant's normal travel policies.
4. **Equipment:** The budget should provide the estimated types of equipment to be used on this project. Be sure to include all costs associated with equipment such as safety gear (e.g. helmets), fuel, tax/tag, and insurance premiums as applicable under an appropriate budget category. The equipment model number, cost per unit and quantity shall be provided.
5. **Supplies:** The budget shall specify the supply items related to this activity (e.g. specimen collection, sample transport, administrative).
6. **Contractual:** The budget shall identify any goods and services being procured through a contract mechanism, including sub-awards.
7. **Other Direct Costs:** The budget shall identify the following but is not limited to: communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in the Applicant's fringe benefits). The narrative shall support and provide a breakdown for all other direct costs.
8. **Indirect Costs:** The Applicant shall support the proposed indirect cost rate with a letter from

a cognizant U.S. Federal audit agency, a Negotiated Indirect Cost Agreement (NICRA), or a budget narrative with sufficient information for USAID to determine the reasonableness of the rates (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

If an applicant does not have an Indirect Cost Rate Agreement it must be able to provide the previous three years of audited financial statements to the Agreement Officer. (This will be requested separately).

4. Certifications and Representations

The apparently successful applicant must provide Certifications, Assurances, and Representations that can be found at <http://inside.usaid.gov/ADS/300/303mav.pdf>

B. Phase II - Evaluation Criteria

The Full Application will be evaluated in accordance with the Technical Evaluation Criteria set forth below.

Applicants should note that the technical evaluation criteria serve to: (a) identify the significant issues which applicants should address in their applications; and (b) set the standard against which all applications will be evaluated. **To facilitate the review of the application, please organize the narrative sections of the application in the same order as the evaluation criteria.**

The following evaluation criterion will be used to evaluate all Full Applications. The Government will evaluate the full application on a best value basis, with technical merit more important than cost. The relative importance of each criterion below is listed in descending order of importance; whereby, the Methodology and Proposed Approach is the most important, Sustainability and Organizational Experience are equally important but not as important as the Methodology and Proposed Approach.

1. Methodology and Proposed Approach

- The degree to which the technical approach depicts in detail the understanding of development challenges and opportunities to be addressed by the program - including target population.
- The degree to which the technical approach reflects in detail realistic methods and technical plan to achieve the activities and anticipated results, and articulates the sector-specific assistance funded through sub-granting component optimally addressing the need for technical assistance in three main areas (CSO support, business support, local government support), identifies the capacity development needs of the main Applicant and its Consortium partners, and capacity building needs of future smaller local sub-awardee organizations.
- The degree to which the Applicant's approach depicts in detail the realistic stakeholder and donor coordination and the overall integration of the proposed program with mainstream donor efforts. The degree to which the Applicant clearly articulates in detail the division of technical support tasks among Consortium partners, and presents a platform for joint implementation with the Advancing Kosovo Together - US Prime, as well as a technical approach that outlines effective integration of genders, non-majority communities, and vulnerable groups throughout all three objectives, activities and anticipated results.

2. Sustainability

- The degree to which the Applicant depicts in detail a realistic understanding of the capabilities of target Kosovo institutions and other local partners.
- The degree to which the Applicant clearly articulates in detail their envisioned cooperation and partnerships with local counterparts to ensure full ownership and sustainability.
- The degree to which detailed program outcomes envision sustaining of shared experience of inter-ethnic cooperation, changed behavior, and increasing trust linked to discrete and tangible improvements in everyday life.
- The degree to which the Applicant clearly articulates in sufficient details project outputs at the community level, as well as the foreseen experiences of participants.

3. Organizational Experience

- Demonstrated qualifications, technical expertise, experience and professionalism of the Applicant and the proposed Consortium partners and personnel, especially experience in managing and delivering sub-award grants programs of a similar size and complexity;
- The extent that the staffing plan clearly defines roles and responsibilities, key personnel descriptions, and staffs positions within the Consortium with suitably qualified personnel, offering an optional mix of expertise adequate for the timely achievement of results.
- Proven experience of three to five years of in soliciting, awarding, and overseeing the implementation and financial management of sub-grants, with the program budget of at least \$3 million and a minimum of 30 sub-grants provided.
- Demonstrated experience in carrying out activities throughout the whole territory of Kosovo, as opposed to working in only one region/municipality.

4. Branding & Marking: (compliant Y/N)

5. Environmental Check: (compliant Y/N)

C. Cost Effectiveness and Cost Realism

The Applicants' Cost Application will be evaluated but not scored; however, the results from its analyses may have scoring implications. The overall proposed costs are expected to allowable, allocable project, fair, reasonable, and cost effective. The Cost Application is subject to a cost realism analysis. Information gathered from such considerations may clarify the evaluators' understanding of various application details and lend itself to an adjustment of the evaluation.



**U.S. Agency for International Development
INITIAL ENVIRONMENTAL EXAMINATION
ADVANCING KOSOVO TOGETHER (AKT) PROGRAM
USAID KOSOVO**

A. PROGRAM AND ACTIVITY DATA

PROJECT NAME: Advancing Kosovo Together (AKT), including G2G awards

ASSISTANCE OBJECTIVE: **AO 3:** Empowering Kosovo’s Citizens to Consolidate a Functioning Democracy
IR 3.4: Increased Integration and Participation of Minorities

PROGRAM AREA: PA 1.6 Conflict Mitigation and Reconciliation

COUNTRY: KOSOVO

ORIGINATING OFFICE: Democracy and Governance Office (DGO)
USAID/Kosovo

DATE: June 18, 2013

IEE AMENDMENT: Yes No

DCN OF ORIGINAL IEE: N/A

PURPOSE OF AMENDMENT: N/A

IMPLEMENTATION START: February 2014

IMPLEMENTATION END: December 2017

LOP AMOUNT: \$ 16,600,000

AMENDMENT FUNDING AMOUNT: N/A

CONTRACT/AWARD # IF KNOWN: N/A

Environmental Media and/or Human Health Potentially Impacted (check all that apply):
None Air Water Land Biodiversity Human health Other

Environmental Action Recommended:

Categorical Exclusion:	<input checked="" type="checkbox"/>	Positive Determination:	<input type="checkbox"/>
Negative Determination:	<input type="checkbox"/>	Deferral:	<input type="checkbox"/>
Neg. Deter. with Conditions:	<input checked="" type="checkbox"/>	Exemption:	<input type="checkbox"/>

B. Background

Kosovo has a number of non-majority groups, including Ashkali, Bosniaks, Egyptians, Gorani, Roma, Serbs and Turks. Many of these populations, including Kosovo Serbs living south of the Ibar River, have generally accepted the presence of Kosovo institutions within their communities and have shown their willingness to participate in them. Despite this integration, challenges remain, which need to be addressed in order to consolidate the progress made thus far. These include the lack of economic opportunities, inconsistent use of the language policy, lack of employment in the public sector, and financial and psychological reliance on Serb parallel structures. Of these minority groups, Kosovo Serbs are the least integrated into Kosovo's society and institutions. Kosovo Serb cooperation and social and economic connection in Kosovo is critical, as inter-ethnic relations cannot be maintained or improved without it. Thus, the main challenge of this new program is remove barriers that prevent the creation of avenues for cooperation and connection between the GoK and Kosovo Serb communities.

Research indicates that to advance inter-ethnic integration and the momentum of the decentralization process, targeted assistance to Serb majority municipalities (the majority of which were created within the last 3-4 years) as well as Serb enclaves in Kosovo Albanian majority municipalities is warranted.

Extensive consultation with a wide variety of relevant stakeholders on the successes and challenges of non-majority integration in Kosovo indicated that while the process of decentralization is moving forward in the south, need exists for the GoK to build bridges between itself and non-majority communities both south and north of Ibar River.

Currently the level of mutual trust is low, and it needs enhancing in order to improve inter-ethnic relations and cooperation. Currently, there is a lack of confidence in the other between all sides—the GoK, Kosovo Serbs and Kosovo Albanians. This has resulted in isolated enclaves of Kosovo Serb communities, and a lack of interaction between Serbs and Albanians. Opportunities that foster inter-ethnic interaction do not exist or are not maximized. For example, in many of the target areas, no spaces for community gatherings exist—spaces that could foster inter-ethnic interaction if events are continuously planned to achieve this goal.

In many Kosovo Serb majority municipalities, a large proportion of the population remains reliant on employment through a bloated public sector, financed through the Government of Serbia (GoS), while the private sector remains critically underdeveloped. Thus, there is a need to encourage economic growth and job creation in the private sector.

The relative youth of Serb majority municipalities means that good governance structures are still being set in place. Much more work is needed to ensure that they become independent, efficient and effectively functioning organizations. Currently, many of them have low capacity for ensuring adequate provision of basic services and a weak Municipal Assembly, weak civil society and only one Serb political party translates into little oversight and low accountability to the citizens they serve.

Since the declaration of Kosovo's independence in February 2008, the occurrence of several incidents have increased inter-ethnic tension between the GoK and Kosovo Serbs, and between the Kosovo Albanian majority and Kosovo Serb minority populations. One such incident occurred in July 2011, when the GoK attempted to reestablish customs border controls at two border crossings in north Kosovo. Kosovo Serbs in the north, supported by Serbia-backed parallel municipal structures, responded by setting up roadside barricades to limit GoK presence in the north and limit freedom of

movement between north and south Kosovo as well as between Kosovo and Serbia. While tensions have somewhat subsided, inter-ethnic relations is still an issue, in both south and north Kosovo.

To lower tensions and maintain peace in the north, the Governments of Kosovo and Serbia entered into normalization negotiations led by High Representative Catherine Ashton, the EU's Foreign Policy Chief. After ten rounds of mediated talks, the two sides reached an agreement on the Principles Governing the Normalization of Relations (subsequently referred to as the Agreement) on Friday, April 19, 2013. Both countries' parliaments have ratified the Agreement, which outlines 15 points on the principles governing the normalization of relations between the two countries. The points cover administration of local governance, including the police, the judiciary, municipal elections and energy and telecommunications. To implement the agreement, the two sides will establish an implementation committee, facilitated by the EU.

1. Program Goal and Objectives

The goal of this program is to increase constructive inter-ethnic cooperation and interaction—particularly between the Kosovo Albanian majority and Kosovo Serb non-majority population, which is vital to the security and stability of the Balkans. In particular, it is essential that Kosovo Serbs engage with and participate in Kosovo's institutions and society constructively, particularly the Serb-majority municipalities, as mandated by the Constitution of the Republic of Kosovo and the Ahtisaari Plan, or Comprehensive Status Proposal (CSP). To foster this goal, it is necessary to create conditions that enable Kosovo Serbs and other minorities to preserve, protect, and develop their identities, including language, religious and cultural heritage; to be actively engaged in the work force and to increase their interaction with Government of Kosovo (GoK) institutions at the local level.

The theory of change behind this program is that increased integration and participation of Serbs in Kosovo's institutions and society is best achieved through the creation and expansion of avenues that simply open doors for positive, inter-ethnic communication, understanding and appreciation of the other.

Accordingly, the goal of this program is to foster positive and constructive inter-ethnic communication that can reach a broad mass of people who have never engaged with the other, centered on common problems and needs. The Advancing Kosovo Together (AKT) program will focus on opportunities to get people thinking, talking and engaging with members of the other community. These include grassroots community exchanges, opportunities to better integrate non-majority and majority markets, including improved overall value chains to encourage long-term economic viability of businesses and increased responsiveness of local administrations to the service needs of minority communities.

An integral part of this program is empowerment of youth and women. Purposeful engagement of youth in all program areas is vital to the overall success of this program. In the same manner, gender-specific activities should be incorporated into the three program objectives in order to ensure that gender issues, particularly women's needs, are addressed. This includes women and youth participation in grassroots community and local economic development activities, including female and youth employment, as well as enhancing their engagement with local authorities.

Part of this program is provision of direct grants to the targeted municipalities through Government to Government mechanism. This initiative will be supporting mission's effort to implement USAID Forward Mechanism. The mission will ensure that all the monitoring and mitigation measures are set in place before these grants are made.

Objectives:

This program is targeted at Kosovo Serbs and other minorities living in targeted communities both north and south of the Ibar River. However, unlike Kosovo Serbs in northern Kosovo, those living south of the Ibar River have generally accepted the presence of Kosovo institutions and have shown more willingness to engage with and participate in them.

The Mission envisions program implementation to start in the south. Depending on the pace of the EU-led implementation of the Agreement, as well as other sociopolitical factors, the program (in part or in whole) will then be expanded north of the Ibar River. Thus, the Contractor's implementation of program objectives in the north is tentative. The Mission will determine if and when it will require the Contractor to move forward with program implementation in the north.

The target beneficiaries include communities across 16 of Kosovo's municipalities. They include communities in six (6) Serb majority municipalities in the south: Gračanica/Gračanice, Klokot/Kllokot, Novo Brdo/Novobërdë, Parteš/Partesh, Ranilug/Ranillug, and Štrpce/Shtërpçë; and six (6) Albanian majority municipalities: Gnjilane/Gjilan, Istok/Istog, Klina/Klinë, Obilić/Obiliq, Peć/Pejë and Vučitrn/Vushtrri.⁵ If and when political circumstances permit, the program will also be implemented in the following four municipalities in the north: North Mitrovica/Mitrovicë, Leposaviq/Leposaviq, Zubin Potok/Zubin Potok and Zvečan/Zvečan. The estimated number of minorities living in the 16 target areas is around 146,000.⁶ Kosovo Albanian communities living in the targeted municipalities will also benefit from project activities. This population is estimated at 457,000.

The program will take a holistic approach towards the integration of non-majority populations into Kosovo's institutions and society: social, economic, and political engagement, corresponding to the first three program objectives. The fourth objective seeks to increase the capacity of local partners:

Objective 1: Improve autonomous, horizontal communication between: (a) Kosovo Albanian and non-majority communities; and (b) the GoK and non-majority communities;

Objective 2: Improve economic opportunities in target municipalities;

Objective 3: Increase the efficiency and capacity of target municipal administrations to respond to the needs of all their citizens;

Objective 4: Build the capacity of host country organizations by leveraging local, cross-ethnic leadership to implement program objectives 1, 2 and 3.

The Contractor will implement all four objectives of the program.

⁵ The first name is Serbian; the second is Albanian. The selection criteria for the six Albanian majority municipalities includes the size of the local Serb population, the political will of the Mayor and other municipal leaders, the level of influence the municipality has among other Kosovo Serb populations, the proportionality of other minorities living within the municipality and how well returnees have been integrated back into the local community.

⁶ This number is based on joint estimates by the Municipal Community Affairs Offices, UNHCR Kosovo and OSCE Community Profiles. Note: Serbs largely boycotted the 2011 population census that was organized by the GoK and supported by the European Commission Liaison Office (ECLLO) in Kosovo.

OBJECTIVE 1: Improve autonomous, horizontal communication between: (a) Kosovo Albanian and non-majority communities; and (b) the GoK and non-majority communities

The aim for this objective is to create opportunities that can help break down the invisible barriers that have communities in separate silos. A sustainable partnership approach is key—with local authorities, community based organizations (CBOs) and local residents working together to address priority needs. This objective will help the predominantly ethnic Albanian GoK build bridges between itself and non-majority communities by providing avenues for constructive and results-oriented engagement—aimed at improving the quality of life within non-majority communities and increasing communities’ overall sense of satisfaction.

In line with the CSP, Kosovo has been under an internationally supervised period of independence since February 2008. Following the call of the 25-nation International Steering Group (ISG) to end supervised independence by December 2012, and the legislative adoption of a resolution to this effect by the Kosovo Assembly, USAID intends to assist the GoK to complete priority tasks that the GoK had to commit to as part of its prerequisites for declaring independence, including but not limited to the GoK demonstrating its commitment to making Kosovo a home for its entire diverse people.

It is important to create conditions that enable Kosovo non-majority communities to preserve, protect, and develop their identities, particularly their religious and cultural heritage and other rights guaranteed by the Constitution, including non-majority employment in the public sector. Creative solutions will be essential, such as activities that cut across ethnic and community boundaries.

Furthermore, a very low number of Kosovo Serbs work in public institutions, numbers far below the 10 percent minority set-aside by the law.

The different languages of communication pose a barrier to inter-ethnic interaction and cooperation. While the older generation often speaks both Serbian and Albanian, younger generation rarely speaks both languages. This makes inter-ethnic communication a challenge; within the public and private sector, as well as day-to-day interaction at the grassroots level. Outside of Serb majority municipalities, written material is often not available in Serbian language. There is a Law on the Use of Languages (protection of minority language rights); however, it needs secondary legislation for its implementation. The GoK has an ongoing effort to fully operationalize the Language Commission, which would address the current lack of implementation of the bilingual language law.⁷

The activities under this objective will be implemented in the north of Kosovo, when and if the circumstances allow.

Expected Outcomes:

1. Increased satisfaction of targeted communities with GoK efforts in meeting the applicable non-majority requirements stated under the Constitution and adopted legislation.
2. Implementation of small infrastructure projects (including the construction of new and rehabilitation of old facilities) aimed at improving overall community well-being as identified by the communities, in conjunction with respective local authorities.
3. Increased capacity of civic groups to advocate for and stage activities that protect the cultural and historic rights of non-majority communities.

⁷ The Constitution of Kosovo states that Kosovo has two official languages: Albanian and Serbian. One of the tasks of the language commission is to address the facilitation and quality of Serb language in Kosovo.

4. Increased capacity of the Language Commissioner's Office to coordinate implementation of the Law on Use of Languages.
5. Increased perception of non-majority communities on the responsiveness of their local authorities to their needs.
6. Increased capacity of minorities, including women, to obtain public sector positions.
7. Increased number of constituent groups joining grassroots initiatives to work on a common issue-based agenda.
8. Increased participation of minorities in local government activities.
9. Increased number of community stakeholders in local development efforts.
10. Increased interaction between non-majority and majority communities.
11. Capacity of local leadership to support activities that display inter-ethnic cooperation strengthened, including dissemination of successes to various interested audiences and stakeholders.

Performance Standards:

- Change in percentage of people who believe they share common interests with members of other communities.
- Percentage of community projects rated as a priority.
- Increase in the number of quality, well-founded advocacy initiatives.
- Capacity of the Office of language Commissioner to implement the Law on use of languages strengthened.
- Percentage of citizens in target areas that believe that target government institutions address their priorities.
- Percentage of youth and women participating in workforce development activities.
- Number of inter-ethnic citizen involvement in local development efforts.
- Number of autonomous inter-ethnic activities designed to foster inter-ethnic engagement/communication.

OBJECTIVE 2: Improve economic opportunities for non-majority communities in target municipalities through job creation and support to entrepreneurs

This objective will focus on encouraging economic growth and job creation in the private sector, including the provision of technical and other tangible support to non-majority-owned businesses. Since the economic advantage of each community is different, the types of economic initiatives across the 16 target municipalities will vary. This program will serve as a platform to increase women's employment and overall skills development within the three program components. Program activities will help improve gender parity and support skills improvement, employability and women's participation and leadership within the community, both in the public and private sector.

A priority area for Kosovo Serb communities and other minority groups is assistance with creating and expanding economic opportunities. With overall high unemployment (over 40 percent), a large youth population (50 percent under the age of 25) and a high poverty rate (45 percent), Kosovo needs long-term, sustainable economic opportunities that are best provided by the private sector. Currently, Kosovo's economy largely depends on remittances and foreign aid. This is not a model for sustainable growth and is insufficient to create jobs for the high number of unemployed persons.

Addressing unemployment is critical, as it is a key predictor of political instability and protest, which could disrupt the fragile stability of Kosovo.

Non-majority (particularly Kosovo Serb) businesses are typically confined within non-majority areas, unable to increase their incomes or expand to provide new job opportunities. Thus, there is a need to seek avenues to create and expand multi-ethnic production and markets. Consultations have identified business associations and community groups as optimal conduits for achieving such goals, in addition to serving as avenues for disseminating economic assistance, as they foster a collective sense of ownership and accountability.

The employability of youth must increase. Youth are a priority population, with the highest tendency to migrate out of Kosovo; are the least employed by the Serb parallel structures; tend to engage in more aggressive behavior, potentially leading to regional instability; and have proven most likely to embrace the entrepreneurial spirit essential for stimulating a vibrant economy.

Special attention should be devoted to creating gender-specific activities. Economic activities should also be designed to foster income-generating projects for the most vulnerable returnees and members of displaced communities, particularly those living in the rural areas.

The activities under this objective will be implemented in the north of Kosovo, when and if the circumstances allow.

Expected Outcomes:

1. Increase in local economic progress, such as rise in sales and household income.
2. Increased availability of medium-term employment and income generating opportunities, including opportunities for returnees and members of displaced communities.
3. Increased youth and women's participation in the private sector.
4. Increased linkages between producers and markets in non-majority and majority areas.
5. Increased competitiveness of non-majority-owned businesses.
6. Increased availability of loans and business development services to small and medium sized enterprises (SMEs) to allow greater SME capital investment in Kosovo.
7. Increased private-sector-led advocacy initiatives that focus on creating short- or medium-term economic and employment opportunities in sectors that have a visible impact on the vast majority of the population in target communities.
8. Increased income-generating activities for returnees and members of displaced communities to promote re-integration.

Performance Standards:

- Number of businesses registering with the GoK as a result of program activities.
- Percentage change in profit by minority agricultural producers.
- Number of partnerships between minority and majority businesses.
- Percentage change in profit by participating businesses (increased sales of minority products in majority markets).
- Number of full-time and full-time equivalent (FTE) jobs created as a result of USAID assistance in targeted areas.
- Number of minority returnees benefiting from income generation assistance.

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- Number of micro-enterprises linked to larger-scale firms as a result of USG assistance to the value chain.
 - Number of minority youth and women owned businesses assisted by the program.

OBJECTIVE 3: Increase the efficiency and capacity of target municipal administrations to respond to the needs of all their citizens

This objective will build upon prior USAID assistance to local municipalities to provide services in the most efficient manner, using transparent processes, which resulted in the setting of many standards across all municipalities, such as the creation of annual work plans, Service Improvement Action Plans (SIAPs) and citizen engagement plans. Such assistance was particularly helpful for the newly created municipalities, which did not typically have experienced leadership. This assistance will help target municipalities to continue instituting practical and concrete initiatives that will strengthen the legitimacy of Kosovo’s local government system and improve service delivery in the targeted municipalities.

After the creation of new Serb majority municipalities as envisioned under the Ahtisaari Plan, the GoK provided them with special support funds. The new municipalities have since made significant progress but much work remains to be done. Many of the new municipalities are just now developing the competencies to drive small, local community development efforts on their own but often, still rely on donor support for technical and financial assistance. Municipalities often lack appropriate human, technical and managerial capacity to fulfill their mandate as local service providers.

Consequently, gaining access to quality services remains an issue for many households and service provision falls short of citizen expectations in many areas; particularly in several Serb communities located within Albanian majority municipalities. For Serb communities located within Albanian majority municipalities, these issues are further compounded by the unavailability of up-to-date information—including signage, municipal webpages, documents and other text—in the Serbian language. Thus, minority communities often experience weak outreach. Furthermore, several non-majority communities do not perceive their local administrations as working to meet their needs or investing in their future.

Accordingly, the frequency, quality, and regularity of Kosovo Serb interaction with Kosovo municipal authorities needs to increase. Serbs returning to pocket communities of Serbs in Albanian-majority communities should be well integrated and serviced by their municipal administration. While each municipality has an Office of Communities and Returns to address returnee and other community issues, these offices often have very little capacity to assist or address applicable cases.

The activities under this objective will be implemented in the north of Kosovo, when and if the circumstances allow.

Expected Outcomes:

1. Increased quality and quantity of service delivery mechanisms in targeted municipalities.
2. Improved municipal ability to set development priorities (e.g. through the development of feasible plans, taking into account non-majority community needs, and empowering municipal staff to perform better).
3. Increased role of youth and women in local decision-making processes.
4. Increased municipal Own Source Revenues, resulting in enhanced municipal budgets.

5. Increased involvement of target municipalities' Offices for Communities and Returns in influencing local decision-making regarding the choice of policies and programs targeted at local minorities and returnees.
6. Increased transparency of municipal service provision processes (including e-procurement), thereby reducing opportunities for fraud and corruption.
7. Enhanced community engagement with local authorities.
8. Increased collaboration between municipal governments, municipal associations, and local civil society organizations (CSOs) to improve municipal service delivery.

Performance Standards:

- Increase in the percentage of revenue collection in targeted municipalities.
- Percentage increase in citizens' satisfaction with selected municipal services (disaggregated by service).
- Number or percentage increase in Kosovo Serb majority municipal officials with increased technical capacity.
- INDEX measure of extent to which municipal hearings are open and transparent.
- Number of municipal local development initiatives benefiting women.
- Number of municipal local development initiatives benefiting Serb minority communities.
- INDEX measure of extent to which the municipalities are compliant with the language policy.

OBJECTIVE 4: Build the capacity of host country organizations by leveraging local, cross-ethnic leadership to implement USAID Kosovo funded activities

This objective is designed to contribute specifically to the USAID Forward objective to strengthen host country capacity to improve aid effectiveness and sustainability by increasing the use of reliable partner country systems and institutions to provide support to partner countries. As such, USAID/Kosovo will implement this program in parallel with an award to one local civil society consortium. This consortium will include at least one Kosovo Albanian-led and one Kosovo Serb-led civil society organization (CSO).

Kosovo's civil society sector, especially its minority organizations, is underdeveloped. With the exception of a few more established organizations based in larger urban centers, the sector mainly consists of small non-governmental organization (NGOs) that work around the margins of social reality, largely on issues and matters considered "non-political." Thus, many NGOs are not well versed in carrying out programs with goals similar to this conflict management and mitigation program.

According to the Kosovo NGO Registration Office, over 5,000 NGOs are registered in Kosovo and approximately 400 are Kosovo Serb NGOs. Of these, it is believed that less than 20 percent are active or partially active. Many of these NGOs are not well equipped to fulfill the increasing strict criteria of the donor community.

The Contractor under this award will be accountable for assisting USAID/Kosovo to build the capacity of this local consortium, to facilitate the local consortium improving its internal operational systems and processes, and its technical capacity, managerial, and financial management capabilities for managing USAID awards. The Mission will fund the operations of this local consortium through

a second, separate award. The local consortium will work jointly with the Contractor under this award to achieve program objectives.

The mission expects the Contractor under this award to work with the local consortium to ensure the local consortium develops:

1. Enhanced technical capacity to deliver technical assistance to local beneficiaries in the objective areas under this award.
2. Enhanced operational and management capacity to solely administer a multi-million dollar funding pool for grant sub-awards—from solicitation through award selection and management, including monitoring of activities—to achieve outcomes under Objectives 1 through 3
3. Increased ability to create a forum whereby grant sub-awardees can network with each to share information and highlight integration successes to wider audiences.
4. Increased ability to handle USAID reporting requirements and procedures, including environmental reviews, developing and monitoring of program indicators, developing weekly, quarterly and annual reports.
5. Increased financial management capacity to support the development of transparent financial documents, including pipeline analyses and invoices.
6. Increased ability to establish professional linkages with a variety of stakeholders.

2. Program Overview

<p>Component A: Technical Assistance and Training under Objectives 1, 2, 3 and 4 Estimated Level of Effort (LOE): 50%</p>
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Under Component A, this program will involve mostly technical assistance and training with elaborated below:

Objective 1: Create tangible and sustainable avenues for constructive partnership between (1) non-majority and majority communities and (2) the GoK and non-majority communities, to enable long-term interethnic interaction and ensure that the key needs of non-majority communities are met

Possible capacity-building activities that can be undertaken in support of this component include:

- Support other initiatives and campaigns that would promote non-majority cultural and historic heritage, such as theater festivals, Week of Non-majority Cultures, etc.
- Support the GoK with implementation of the Law on Use of Language (protection of language rights), most especially for Kosovo Serbs, to demonstrate that the government communicates in their language. Thus, support the establishment of bilingual signs for example, and the to-be-established Office of the Language Commission
- Support the GoK with implementing the policy on non-majority employment
- Provide trainings, career opportunities and skill building for employees of under-represented communities; such as workshops to increase their representation in Kosovo's public sector (to assist the GoK to meet its quota of reserving a certain number of jobs in the public sector for minorities), with a view towards increasing non-majority employment. Women's participation will be highly encouraged
- Provide sensitivity/ethnic tolerance training to local authorities, youth, and other relevant groups, regardless of ethnicity

- Provide support for inter-ethnic initiatives such as joint youth initiatives, language trainings, etc.
- Provide support for a Kosovo based daily newspaper in Serbian language

Objective 2: Job Creation and Support to Entrepreneurs

Possible activities that can be undertaken in support of this objective include:

- Explore and implement avenues for expanding the market and increasing the sales of non-majority-owned businesses, particularly in majority markets
- Conduct “value chain events” to link producers to marketers
- Partner with KCC, AmCham and AKB to devise and implement innovative avenues for expanding the market base of non-majority businesses

Objective 3: Increase the efficiency and capacity of target municipal administrations to respond to the needs of all their citizens

- Assist municipal administrations to increase the quality of their services and ease access to these services through appropriate use of the language policy, with a view towards reducing the relevance of Serb parallel structures within applicable communities
- Bolster the capacity of municipalities to govern effectively, with the capacity to attend to the needs of their communities, including the female population
- Support reintegration of returnees by assisting the Government’s Municipal Office for Communities and Returns with activities such as trainings, case management, database management, small projects, income generating and employment projects, needs assessments and so forth
- Increase municipalities’ self-reliance by improving the collection of revenue in order to increase municipal Own-Source Revenue (OSR)
- Support anti-corruption initiatives that would increase transparency and accountability (such as in the procurement arena) and e-government (in more sophisticated municipalities)

Objective 4: Build the capacity of host country organizations by leveraging local, cross-ethnic leadership to implement USAID Kosovo funded activities

- Deliver technical assistance to local beneficiaries in the three objective areas under this award,
- Manage multi-million dollar funding pool for sub-awards under first three objectives of the program
- Handle USAID reporting requirements and procedures, including environmental reviews, develop and monitor program indicators, develop weekly, quarterly, and annual reports, and
- Develop the necessary financial management skills to support development of financial documents, including pipeline analyses and invoices.

<p>Component B: Infrastructure and micro-enterprise assistance under Objectives 1 and 2 Estimated Level of Effort (LOE): 50%</p>

Under Component B, in addition to technical assistance and training, the project will support pilot programs through small grants based on community priorities and tangible small-scale infrastructure improvements. Under this component, the implementer will employ qualified engineers to provide oversight from design through implementation for all community infrastructure grants.

A number of local engineers have been trained in USAID environmental compliance procedures and are applying these during the implementation of USAID projects as part of the implementer technical staff. All projects with negative determination have designated key staff that conduct environmental reviews.

Objective 1: Create tangible and sustainable avenues for constructive partnership between (1) non-majority and majority communities and (2) the GoK and non-majority communities, to enable long-term interethnic interaction and ensure that the key needs of non-majority communities are met

Possible activities that can be undertaken in support of this objective include:

- Foster community engagement and interaction with local authorities through the implementation of community/returnee initiatives co-funded by local authorities
- Support community/youth/civil society organizations (CSO) initiatives to enrich the quality of life in targeted municipalities (for example, through the creation of sports and community cultural centers and activities)
- Provide short-term employment opportunities that engage community members in the construction, rehabilitation or renovation of community infrastructure that will leave tangible outcomes such as short-term employment and long-term community revitalization.

Objective 2: Improve economic opportunities for non-majority communities in target municipalities

- Provide technical and tangible support to businesses to expand their production and increase job opportunities, capitalizing on communities' comparative advantages
- Promote loan and business development services to Small and Medium Sized Enterprises (SMEs) to allow greater SME capital investment in Kosovo
- Support youth entrepreneurial start-ups and foster youth employability, including female youth
- Support women-owned enterprises (existing and start-ups) to increase female employment and productivity
- Support local private-sector-led advocacy and initiatives that focus on creating short- or medium-term economic and employment opportunities in sectors that have a visible impact on the vast majority of the community

This component will provide funding support to address economic security and unemployment among minorities, by engaging small businesses to support effective and sustainable income generation activities in their communities through specific income generation and a small grants community-based incentives program and workforce development programs. Support to Micro-enterprises and agriculture may be areas of assistance under Objectives 1 and 2 will require assurances that the activities to be implemented are environmentally sound.

Objective 3: Support to local governance Government to Government (G2G) Awards

- Provide direct grants to targeted municipalities, through USAID Forward, in support of municipal services and performance improvement initiatives

This component envisages providing direct grants to the targeted municipalities in implementing priority community projects. In addition to the financial support to the targeted municipalities, mission will be able to provide continues technical support, if needed, through its implementing partner/s program experts and utilize internal mission's expertise in supporting municipalities to

finalize their community projects according to the Kosovo laws and procurement procedures and according to the best practices. This assistance will help targeted municipality to continue instituting practical and concrete initiatives that will strengthen the legitimacy of Kosovo's local government system.

Conditions and Mitigation Measures: Implementing partner environmental expert will work with the environmental officers of the targeted municipalities, to identify potential environmental impacts and to subsequently draft a set of suitable mitigation measures. The resulting environmental mitigation and monitoring plan (EMMP) (see attached – Annex 1) shall be incorporated into the construction permit, which will be administered by the Municipality. Having the EMMP thus incorporated will ensure that elimination and/or reduction of project environmental impacts becomes part of the solicitation process and a factor in making the award. Compliance with the EMMP shall be monitored regularly, at least quarterly, on the construction site by the municipal environmental officer and USAID implementer Environmental expert. Municipalities shall report findings during the monitoring visits using the Record of Compliance with activity-specific environmental mitigation and monitoring plans form (see ERC Annex 1).

Municipalities will certify, at least quarterly, to USAID/Kosovo that its process for complying with its environmental legal requirements, including permitting, is adequate and effective, and grant USAID/Kosovo the right to verify the certification. Also USAID/Kosovo will be notified if situations arise that do not allow the certification in b. above, and pursue arrangements with USAID undergo training and capacity building, which is intended to address the identified deficiencies. All adequate requirements for environmental, health, and safety compliance and best management practices in tender documents used to procure activity related goods and services will be included.

C. COUNTRY AND ENVIRONMENTAL INFORMATION (BASELINE INFORMATION)

a. Country Information

The Republic of Kosovo is a new country, established as a state on February 17, 2008. It lies in Southeast Europe in the central part of the Balkan Peninsula, bordered on the southwest with Albania, on the northwest with Montenegro, on the north and northeast with Serbia, and on the southeast with Macedonia. Its population is young (65% is under 30 years) and has the highest birthrate (2.5%) in Western Europe (Balkan Insight, 2009). It also has a literacy rate that exceeds 90% and an unemployment that is greater than 40%. Major industries are agriculture, energy, and mining. There is a low level of economic development, very slow development of privatization processes of government-owned enterprises, and an unclear vision for economic development. Industrial production and mining from the former socially-owned sectors has dropped and the increase of privately owned production enterprises is slow. There is a scarcity of qualified professionals in all sectors of the economy and within government institutions.

b. Baseline Environmental Information

- **Environmental Context Related to the Project**

The environment—including environmental issues, problems, and threats to the environment—in Kosovo receives very little attention and is a low priority in the government's agenda. To its credit, Kosovo is adopting new environmental laws and policies, and government institutions are struggling to plan and implement programs. There are some success stories, but overall, environmental awareness is low and the implementation of programs to address threats and issues is small.

Water resources in Kosovo, their protection, their use, and their treatment have a key role in the nation's environmental picture. The country is a virtual water tower in the central Balkan region. Elevations in the central part of the country range from 400 to 700 meters, while mountains on the borders, especially the west and south, range upwards of 2,500 meters. This also means that all surface water flows out of Kosovo; no water flows into the country from outside of its borders.

This has significant implications for Kosovo as it strives for membership in the EU. Trans boundary agreements, treaties, and policies that reflect the protection of water resources (including aquatic ecosystems and species), the treatment of pollutants flowing into surface waters and being absorbed into groundwater, and access to water by citizens are key environmental issues that will need to be addressed.

Water, clean water, can be the common focal point for Kosovo's environmental causes. Adequate supplies, especially for economic development and high current use by the energy sector, are recognized as weak and shortages already occur in the drier summer months, especially in urban areas. Protection of watersheds by vegetative (tree) cover is poor, resulting in erosion into surface (storage) reservoirs and streams. Lack of forested cover on watershed areas needed for drinking and industrial uses also means that infiltration into underground aquifers is being impaired. And, finally, the complete lack of wastewater treatment facilities throughout the country means that all surface waters in the country function as disposal conduits for all manner of sewerage and pollutants from residential, municipal, and industrial sources.

Sustainability Analysis: It is anticipated that many project activities will not have any effect on the environment and human health in Kosovo. However, sustainability from an environmental perspective is a fundamental concern for the project, aiming to contribute for better inclusive sustainable efforts. Implementers will consider the sustainability of all activities, but in particular: all small scale rehabilitation of village roads, infrastructure, village bridges, village-based water supply systems, small scale production equipment, production/processing equipment for agriculture associations, and oversight through the environmental mitigation monitoring plans (EMMPs).

Climate Change Vulnerability Analysis: The climate change vulnerability analysis has not been completed, but considerations throughout the project will be given to whether and how the project will affect or be affected by medium, long-term climate change (CC) impacts (changes in rainfall, temperature, length of growing season, land conversion, etc.) and how the project should be adjusted in consideration of climate change vulnerabilities.

- **Description of Relevant Environmental and Natural Resources Policy, Law and Regulation**

Kosovo is adopting laws that are harmonized with EU environmental standards. However, these laws do not have the needed sub-laws, regulations, and policies needed for implementation. Key environmental policy documents include the Kosovo Environmental Strategy 2005-2015, adopted by Government of Kosovo in July 2004, and the Kosovo Environmental Action Plan 2006-2010 (KEAP), the midterm roadmap for implementation of the Environmental Strategy. Many of the 52 priority projects listed Strategy's annex are being implemented.

The Ministry of Environment and Spatial Planning (MESP) is the lead environmental institution responsible for the preparation and implementation of environmental laws. They are supported by the 30 municipalities. A municipality may exercise responsibility for those environmental matters originating, or likely to originate, within their municipality, if programs can be handled, controlled, prevented, financed, or managed. Municipal responsibilities include establishing standards and

ensuring compliance with standards, protection of the environment within the municipality, and establishing measures consistent with sustainable economic development.

The Kosovo Assembly has adopted several laws related to the environment, all of which include use of different economic instruments. The State of Environment Report in Kosovo is published every two years by Kosovo Environmental Protection Agency (KEPA). KEPA collects the environmental data from monitoring institutions, companies, operators and different establishments, publications, reports and other sources. The Report establishes a firm foundation for cooperation and coordination with the European Environmental Agency (EEA) and EIONET2. The European Partnership priorities provide the basic framework for harmonization with EU environmental legislation. Kosovo has made advances in legislation concerning air quality and water quality and the new environmental laws are an important step.

The Fund for Environmental Protection was established in Article 77 of the Law for Environmental Protection. The draft Eco Fund requirement was drafted in 2005 to support financial investments financed by the Kosovo Assembly through revenues from environmental taxes and be used for waste collection and disposal, utilization of biomass, energy efficiency and reduction of CO2 emissions, wastewater treatment plants, monitoring systems and equipment for inspectors, and more.

The Law on Waters (2004/24) was adopted on October 14, 2004. The Kosovo Water Law sets provisions for the development of the Water Management Strategy and Action Plan. The sub-legal act for drafting of the Water Resources Management Plan has been issued. Kosovo's national policy includes the process of EU integration. One of the challenges is the fulfillment of EU environmental standards and harmonization of national legislation with EU legislation. Kosovo is working to harmonize with EU directives through Frame Directive for Waters (2006/12/EC), Directive for Urban Contaminated Waters (91/271/EEC), Directive for Potable Water (98/83/EC), and Directive for Nitrates (91/676/EEC).

Apart from the Law on Environmental Protection (2003), the Law on Air Protection (2004) was drafted in accordance with certain EU Directives. The Law categorizes main pollution sources, sets basic air pollution indicators and obligations, and recommends adoption of limits for air discharge according to EU and World Health Organization (WHO) standards. In its harmonization efforts EU directives, Kosovo is working through the Frame Directive for Environmental Air Quality (2006/62/EC), Directive for Value Limits of SO2, NOx, particulate matter) and lead in Environmental Air (99/30/EC), Directive for Benzene and Carbon Monoxide (2000/3/EC), and Directive for Ozone (2002/3/EC) to reach harmonization with EU standards.

The Waste Law was approved by the Assembly on July 22, 2005. This Law was prepared according to relevant EU Directives and the experiences of neighboring countries. The most important document which will need to be approved and enforced is the National and Municipal Waste Management Strategy with Action Plan, where main directions for waste management will be defined and long-term needs in local and national level will be assessed. In trying to harmonize with EU standards, Kosovo is working through Directive for Waste (2006/12/EC), Directive for Hazardous Waste (91/689/EC), Directive for Waste Dumping Sites (99/31/EC), Directive for Waste Incineration (2000/76/EC), and Directive for Hazardous Substances (67/548/EEC).

Other relevant applicable laws and regulative:

Law on Environmental Impact Assessment 2010/03-L-214

Remark: Law is approved by Assembly, date 23.09.2010 and promulgated by the Decree of the President of the Republic of Kosovo No. DL-048-2010, Date 14.10.2010

Law on Noise Protection 2007/02-L102

Remark: Law is approved by Assembly of Kosovo, date 30 March 2007 and promulgated by UNMIK Regulation no. 2008/15 of date 17 March 2008.

Law on Hunting 2005/02-L53

Remark: This Law is applicable together with the UNMIK Regulation no. 2006/41 of 11.08.2006.

Law on Environmental Protection 2009/03-L-025

Remark: Law is approved by Assembly, date 26.02. 2009 and promulgated by the Decree of the President of the Republic of Kosovo No. DL-007-2009, date 19.03.2009.

Amendment on the Law No.2003/3 on the Forests of Kosovo 2004/29

Taking into consideration the necessity to change and amend Law No. 2003/3 on the Forests of Kosovo, for the purpose of having a fully applicable law, and given the changes in the Criminal Code of Kosova

Law on Animal Welfare 2005/02-L10

Remark: This Law is applicable together with the UNMIK Regulation no.2005/24 of 09.05.2005.

Law on Nature Conservation 2005/02-L18

Remark: This Law is applicable together with the UNMIK Regulation no. 2006/22 of 24.04.2006.

Law on Nature Protection 2010/03-L-233

Remark: Law is approved by Assembly, date 30.09.2010 and promulgated by the Decree of the President of the Republic of Kosovo No. DL-054-2010, Date 18.10.2010

Law on water 2004/24

This Law regulates issues relating to the management, planning, protection and institutional responsibilities in regard to water and Water Resources.

Law on Construction 2004/15

This Law shall determine the main requirements for design, construction, and use of construction materials, professional supervision, as well as procedures for construction permits, use permits and building inspection.

Law on Construction Products 2005/02-L14

Remark: This Law is applicable together with the UNMIK Regulation no. 2005/28 of 17.05.2005.

Law on Air Protection 2004/30

The purpose of this Law is to regulate and guarantee the rights of citizens to live in a healthy and clean air environment, whilst protecting human health, fauna, flora and natural and cultural values of the Kosovo's environment.

Law on Air Protection from Pollution 2010/03-L-160

Remark: Law is approved by Assembly, date 25.02.2010 and promulgated by the Decree of the President of the Republic of Kosovo No. DL-012-2010, date 12.03.2010.

Law on Public Health 2007/02-L78

Remark: Law is approved by Assembly of Kosovo, date 22 February 2007 and promulgated by UNMIK Regulation no. 2008/6 of date 08 February 2008.

D. EVALUATION OF ACTIVITY WITH RESPECT TO ENVIRONMENTAL IMPACT POTENTIAL AND IDENTIFICATION OF MITIGATION MEASURES

1. Component A – Technical Assistance and Training under Objectives 1, 2 and 3 (estimated at 50% of LOE)

Table 1 Illustrative activities under Program Component A—[Technical Assistance and Training under Objectives 1, 2 and 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
1.1. Support initiatives and campaigns that would promote non-majority cultural and historic heritage, such as theater festivals, Week of Non-majority Cultures, etc.	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.2 Technical Assistance in planning processes	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.3 Support the GoK with implementation of the Law on Use of Language (protection of language rights), most especially for Kosovo Serbs, to demonstrate that the government communicates in their language. Thus, support the establishment of bilingual signs for example, and the to-be-established Office of the Language Commission	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.4 Support the GoK with implementing the policy on	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None

Table 1 Illustrative activities under Program Component A—[Technical Assistance and Training under Objectives 1, 2 and 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
non-majority employment			
1.5 Provide trainings, career opportunities and skill building for employees of under-represented communities; such as workshops to increase their representation in Kosovo's public sector (to assist the GoK to meet its quota of reserving a certain number of jobs in the public sector for minorities), with a view towards increasing non-majority employment. Women's participation will be highly encouraged	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.6 Provide sensitivity/ethnic tolerance training to local authorities, youth, and other relevant groups, regardless of ethnicity	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.7 Provide support for inter-ethnic initiatives such as joint youth initiatives, language trainings, etc.	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.8 Provide support for a Kosovo based daily newspaper in Serbian	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None

Table 1 Illustrative activities under Program Component A—[Technical Assistance and Training under Objectives 1, 2 and 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
language			
1.9 Explore and implement avenues for expanding the market and increasing the sales of non-majority-owned businesses, particularly in majority markets	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.10 Conduct “value chain events” to link producers to marketers	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.11 Partner with KCC, AmCham and AKB to devise and implement innovative avenues for expanding the market base of non-majority businesses	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.12 Assist municipal administrations to increase the quality of their services and ease access to these services through appropriate use of the language policy, with a view towards reducing the relevance of Serb parallel structures within applicable communities	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.13 Bolster the capacity of municipalities to govern effectively, with the	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None

Table 1 Illustrative activities under Program Component A—[Technical Assistance and Training under Objectives 1, 2 and 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
capacity to attend to the needs of their communities, including the female population			
1.14 Increase municipalities' self-reliance by improving the collection of revenue in order to increase municipal Own-Source Revenue (OSR)	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.15 Support anti-corruption initiatives that would increase transparency and accountability (such as in the procurement arena) and e-government (in more sophisticated municipalities)	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.16 Deliver technical assistance to local beneficiaries in the three objective areas under this award,	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.17 Provide training to the local partner to be able to manage multi-million dollar funding pool for sub-awards under first three objectives of the program	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.18 Provide training to the	No adverse impact	Categorical Exclusion per 22 CFR	None

Table 1 Illustrative activities under Program Component A—[Technical Assistance and Training under Objectives 1, 2 and 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
local partner to be able to handle USAID reporting requirements and procedures, including environmental reviews, develop and monitor program indicators, develop weekly, quarterly, and annual reports.	anticipated	216.2(c)(2)(iii)	

3. Component B– Infrastructure and micro-enterprise assistance under Objective 1, 2 and 3 (estimated at 50% of LOE)

This component will provide services and funding support to address economic security and unemployment among minorities, by engaging civil society and small businesses to support effective and sustainable income generation activities in their communities through specific income generation and a small grants community-based incentives program and workforce development programs. Infrastructure, support to Micro-enterprises, and agriculture may be three areas of assistance under Objective 3 and will require assurances that the activities to be implemented are environmentally sound. The program will include a fund for grants and sub-contracts to support local partners, including youth and community groups and civil society organizations, in implementing initiatives that contribute to the program’s objectives. The implementing partner will conduct an environmental impact assessment in parallel with the public scoping meetings convened to select the projects. This environmental review will provide a basic examination at the sectorial and sub-sectorial level to examine expected environmental impacts of proposed activities, alternatives to the proposed projects, and mitigation measures to address each of the proposed projects. If any of the proposed projects result in any of the classes of actions that normally have a significant effect on the environment as described in 22 CFR 216.2(d)(1) including: i) programs of river basin development; ii) irrigation or water management; iii) agricultural land leveling; (iv) drainage projects; (v) large scale agricultural mechanization; (vi) new lands development; (vii) resettlement projects; (viii) penetration road building or road improvement projects greater than 1 km; (ix) power plants; (x) industrial plants; and, (xi) medium and large scale potable water and sewerage projects, then an environmental scoping statement must be prepared and approved by the Bureau Environmental Officer prior to initiating an environmental assessment. An environmental assessment is required to be approved by the Bureau Environmental Officer prior to initiating any of the activities which the assessment addresses.

Table 2 Illustrative activities under Program Component B —[Infrastructure and micro-enterprise assistance under Objectives, 1, 2 and 3]

Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions

Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures
2.1 Small scale rehabilitation of village roads	Air, Water, Land, Human Health	Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii) for small scale infrastructure rehabilitation	<ul style="list-style-type: none"> • Limited to road repairs for up to 3 km. • Environmental Mitigation and Monitoring Plans (EMMPs) tailored to site-specific activities will be effectively implemented (See Conditions in Section E.) • If these repairs are in ecologically sensitive areas (national forest, adjacent to endangered species habitat), the BEO will need to approve the environmental report. • If the environmental review identifies a positive

Table 2 Illustrative activities under Program Component B —[Infrastructure and micro-enterprise assistance under Objectives, 1, 2 and 3]

Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions

Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures
			<p>determination, the IEE will be amended to reflect this and to require an environmental assessment. Health and safety measures to protect worker health will be followed.</p> <ul style="list-style-type: none"> • All applicable local laws, regulations and standards and relevant mitigation measures from the following guidance shall be incorporated into the EMMP. http://www.encapafrika.org/sectors/roads.htm
<p>2.2 Small scale infrastructure rehabilitation of existing facilities (i.e. community centers, schools, health clinics)</p>	<p>Air, Water, Land, Human Health</p>	<p>Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii) for small scale infrastructure rehabilitation</p>	<ul style="list-style-type: none"> • Limited to small scale activities. • Environmental Mitigation and Monitoring Plans (EMMPs) tailored to site-specific activities will be effectively implemented (See Conditions in Section E.) • If the environmental review identifies a positive determination, the IEE will be amended to reflect this and to require an environmental assessment. <p>The contractor shall ensure:</p> <ul style="list-style-type: none"> • Proper health and safety is followed by all subcontractors; no use of: ACM, lead pipes, or lead-based paint; materials containing formaldehyde must be in accordance with the European E0; proper disposal of construction debris; and proper site drainage. • If ACM must be removed, contractors must follow internal norms for abatement and disposal and provided workers with PPE. • An appropriate Onsite Waste Treatment System shall be installed for locations not connected to municipal

Table 2 Illustrative activities under Program Component B —[Infrastructure and micro-enterprise assistance under Objectives, 1, 2 and 3]			
Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures
			<p>sewers.</p> <ul style="list-style-type: none"> • Best engineering practices will be applied to ensure an energy efficient design and operations. • That all appropriate local laws, regulations and standards are incorporated into the EMMP • That all relevant mitigation measures are incorporated into the EMMP from the following guidance: http://www.encapafrika.org/sectors/construction.htm and http://www.encapafrika.org/sectors/watsan.htm
2.3 Small scale rehabilitation of village bridges	Air, Water, Land, Human Health	Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii) for small scale infrastructure rehabilitation	<ul style="list-style-type: none"> • Limited to small scale repairs. No new bridges may be constructed. • Environmental Mitigation and Monitoring Plans (EMMPs) tailored to site-specific activities will be effectively implemented (See Conditions in Section E.) • If the environmental review identifies a positive determination, the IEE will be amended to reflect this and to require an environmental assessment. • All appropriate local laws, regulations and standards to protect health and safety measures to protect worker health will be incorporated into the EMMP. • All appropriate mitigation measures from the following guidance shall be incorporated into the EMMP: http://www.encapafrika.org/sectors/roads.htm
2.4 Small scale rehabilitation of village-	Air, Water, Land, Human Health	Negative determination with	Small scale water supply system projects consists of the following: hand-dug wells, small-diameter boreholes, wells

Table 2 Illustrative activities under Program Component B —[Infrastructure and micro-enterprise assistance under Objectives, 1, 2 and 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures
based water supply systems		conditions pursuant to 22 CFR 216.3(a)(2)(iii)	with hand pumps, roof rainwater catchments, simple spring-fed gravity feed water distribution systems , Well or surface water source pump with a simple small storage tank and piped distribution to standposts or individual yard taps or connections, Extensions of existing urban water lines into unserved or under-served peri-urban zones, showers, clothes-washing basins, hand washing taps. <ul style="list-style-type: none"> • For each sub-project an Environmental Report will be completed for each type of activity. • An environmental mitigation and monitoring plan will be developed for each type of activity. • The EMMP will adopt all relevant mitigation measures from the following guidance: http://www.encapafrika.org/sectors/watsan.htm.
2.5 Donation of production and processing equipment for SME's The equipment is limited to small scale production and processing equipment for small and medium enterprises most of which are anticipated to be family-operated businesses serving a limited market. It is anticipated that no more than one equipment set or	Air, Water, Land, Human Health	Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii)for small scale production and processing	Prior to the initiation of each donation activity, the implementing partner must prepare an Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes (see Annex 4) and then follow instructions in Sections G. through J. of the completed checklist.

Table 2 Illustrative activities under Program Component B —[Infrastructure and micro-enterprise assistance under Objectives, 1, 2 and 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures
production line will be donated per business.			
2.6 Donation of production and processing equipment for Agriculture Associations. The types of equipment that small farmers and processors desperately need include: lacto freezers, tractors, refrigeration, packaging machinery, feed mixers, quality control/testing equipment etc. It is anticipated that the equipment will be limited in numbers, meant for both collective and individual usage only to serve a limited number of farmers/producers.	Air, Water, Land, Human Health	Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii)	Prior to the initiation of each donation activity, the implementing partner must prepare an Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes (see Annex 4) and then follow instructions in Sections G. through J. of the completed checklist.
2.7 Provision of engineering support and oversight from design through implementation of infrastructure activities	No adverse impact anticipated. The activities are environmentally beneficial and ensure environmental compliance and engineering integrity	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None

E. RECOMMENDED ENVIRONMENTAL ACTION

1. Recommended Environmental Threshold Determinations:

Categorical Exclusions:

A categorical exclusion is recommended for the following activities:

- A categorical exclusion pursuant to 22 CFR 216.2(c)(2)(i) for education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.) is recommended for **activities 1.1, 1.2, 1.3, 1.5, 1.6, 1.7, 1.8, 1.12, 1.13, 1.14, 1.15, 1.6, 1.17, 1.18, 2.7** These activities related to training and capacity building, establishment of a community organizations, development of guidance tools, organization of farmers organizations and other groups, facilitation of public private partnerships, public outreach and awareness activities.
- A categorical exclusion is recommended pursuant to 216.2(c) (2) (iii) for analyses, studies, academic or research workshops and meetings is recommended for **activities 1.4, 1.9, 1.10 and 1.11.** These activities are related to surveys and analyses, meetings and events that may be conducted during the course of the project.

Per 22 CFR 216.2(c)(1), neither an IEE nor an EA is required for activities which are determined to fall within one or more of the classes of activities listed in 22 CFR 216.2(c)(2).

Negative Determination with Conditions:

From Table 2 in Section D, small scale road, bridge, water supply, and facility infrastructure rehabilitation activities 2.1, 2.2, 2.3, and 2.4 and donation of equipment for SMEs and agricultural association activities 2.5 and 2.6 have the potential to adversely affect the environment. Consequently, conditions need to be incorporated into project planning to ensure that such effects are appropriately identified and that actions with the potential for significant effects on the environment are subject to appropriate environmental mitigation and monitoring plans (EMMP) Thus, given the potential for the above referenced activities to pose significant effects on the environment, the originator of the action proposes a negative determination with conditions pursuant to 22 CFR 216.3(a)(2)(iii).

Conditions for small scale road, bridge, water supply, and facility infrastructure rehabilitation activities 2.1, 2.2, 2.3, and 2.4:

- Only small scale road rehabilitation activities shall be conducted
- Small scale water supply systems shall be limited to the following: hand-dug wells; small-diameter boreholes; wells with hand pumps; roof rainwater catchments; simple spring-fed gravity feed water distribution systems; well or surface water source pump with a simple, small storage tank and piped distribution to standposts or individual yard taps or connections; extensions of existing urban water lines into unserved or under-served peri-urban zones, showers, clothes-washing basins, hand washing taps.

- Generally appropriate EMMPs have been developed and are attached (see Annex 1). Prior to any new activities at a specific site, the attached EMMPs shall be reviewed by the implementer for suitability, adequacy, and comprehensive inclusion of necessary environmental, health and safety safeguards. If not already done, all applicable local laws, regulations and standards and Standard Required Mitigation Measures for all project sites (see below) shall be incorporated into the EMMPs. When necessary, a revised EMMP shall be sent to the Contract Officer's Representative (COR)/Assistance Officer's Representative (AOR), prior to the start of work. For each site-specific activity, the EMMP attached to this IEE, or (the revised version, if appropriate) shall be attached to the signed Certification of No Adverse or Significant Effects on the Environment (See Annex 2) and sent by the implementer to the COR/AOR for his or her records and copied to the Mission Environmental Officer (MEO) and Europe and Eurasia Bureau Environmental Officer (BEO). After the implementer has finalized its activities at a specific site, he or she shall sign a Record of Compliance with the EMMP (see Annex 3) certifying that the organization met all applicable EMMP conditions and submit it to the COR/AOR. The COR/AOR shall keep the original for the project files and provide a copy to the MEO and BEO.
- If small scale activities are to be undertaken that were not anticipated at this IEE approval stage then prior to initiating activities that have the potential to result in significant adverse environmental, health, and safety impact, the implementing partner shall prepare EMMP(s) in the format provided in the generally appropriate EMMPs in Annex 1. The COR/AOR, MEO, and BEO shall approve these EMMP(s) prior to implementation. For each site-specific activity, the newly prepared EMMP shall be attached to the signed Certification of No Adverse or Significant Effects on the Environment (See Annex 2) and sent by the implementer to the COR/AOR for his or her records and copied to the MEO and BEO. After the implementer has finalized its activities at a specific site, he or she shall sign a Record of Compliance with the EMMP (see Annex 3) certifying that the organization met all applicable EMMP conditions and submit it to the COR/AOR.
- The implementer shall ensure proper health and safety is followed by all contractors and ensure: a) no Lead-based paint is used; b) material selection should be based on durability and to the maximum extent possible be low or no VOC containing materials; c) proper removal and handling and disposal of asbestos containing materials; d) proper site drainage and storm water management; e) best engineering practices shall be applied to maintain/ensure structural integrity.
- EMMPs shall be captured in annual work plans, and therefore budgeted for and reviewed for adequacy at least annually.
- Changes in activities, and their associated EMMPs shall necessitate amending the IEE

Conditions for donation of equipment for SMEs and agricultural associations activities 2.5 and 2.6:

- Only activities involving small scale industries and small scale agricultural mechanization shall be conducted
- Prior to the initiation of each donation activity, the implementing partner shall prepare an Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes (see Annex 4) and then follow instructions in Sections G. through J. of the completed checklist.

-

Standard Required Mitigation Measures for all project sites:

Earth Resources

- Where significant environmental impacts may occur, document and photograph pre-construction and post-construction conditions.
- Avoid subsidence and building stabilization problems through proper foundation excavation, fill placement and borrow pit management.
- Fill should avoid pockets of segregated materials, it should use well-graded materials, and it should be compacted to recognized standards.
- Avoid pollution of waterways with stockpiled construction materials.
- Cover stockpiled construction materials, as practicable.
- Minimize the use of solvent-based paints, or replace with water-based materials.
- Segregate waste which can be salvaged, re-used or recycled.
- Employ sensitive strategies with regard to trees, watercourses, plant or animal species or habitats, and important historical and archaeological features.
- As practicable, landscape construction sites in a way that is appropriate to local conditions.

Air Quality

- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.
- Post construction timetables and traffic diversion schedules at the project site.
- Avoid the use of cement; paper; board; sealant and glazing formulations; piping; roofing material; or other materials containing asbestos.
- Avoid the use of materials known to cause indoor air quality issues such as:
 - Materials high in VOCs (volatile organic compounds) such as certain paints, adhesives, cleaning agents.
- Minimize burning of waste materials.

Waste Materials

- Where significant environmental impacts may occur, document and photograph pre-construction and post-construction conditions.
- Take waste materials to appropriate, designated local disposal areas.
- Minimize the use of solvent-based paints, or replace with water-based materials.
- Minimize burning of waste materials.
- Segregate waste which can be salvaged, re-used or recycled.
- Introduce measures to control and minimize the volume of waste on site.

Noise and vibration

- Establish and adhere to construction timetables that minimize disruption to the normal activities of the construction area.
- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.
- Post construction timetables and traffic diversion schedules at the project site.

Human health

- Develop and implement appropriate human health and worker safety measures during construction.

- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.
- Provide temporary sanitation at the construction site.
- Handle, store, use and process branded materials in accordance with manufacturer's instructions and recommendations.
- Minimize the use of solvent-based paints, or replace with water-based materials.
- Avoid the use of materials known to cause indoor air quality issues such as:
- Materials high in VOCs (volatile organic compounds) such as certain paints, adhesives, cleaning agents.
- Minimize burning of waste materials.

Monitoring and Reporting

- The AOR/COR, with the support of the MEO, is responsible for monitoring compliance of activities by means of desktop reviews and field inspections.
- If an individual activity is found to pose significant adverse environmental effects that have not been identified and addressed in the attached EMMP(s), or EMMPs that were subsequently approved for the project, new EMMPs shall be developed to include environmental safeguards for such effects.
- If at any time the project is found to be out of compliance with the IEE, the AOR/COR or MEO shall immediately notify the BEO.
- Implementing partners shall report on environmental compliance requirements as part of their routine project reporting to USAID.
- A summary report of Mission's compliance relative to this IEE shall be sent to the BEO on an annual basis, normally in connection with preparation of the Mission's annual environmental compliance report required under ADS 203.3.8.5 and 204.3.3.
- The BEO or his/her designated representative may conduct site visits or request additional information for compliance monitoring purposes to ensure compliance with this IEE, as necessary.

F. MANDATORY INCLUSION OF ENVIRONMENTAL COMPLIANCE REQUIREMENTS IN SOLICITATIONS, AWARDS, BUDGETS AND WORKPLANS

- Appropriate environmental compliance language, including limitations defined in Section G, shall be incorporated into solicitations and awards for this activity and projects budgets shall provide for adequate funding and human resources to comply with requirements of this IEE.
- Solicitations shall include Statements of Work with task(s) for meeting environmental compliance requirements and appropriate evaluation criteria.
- Environmental mitigation and monitoring requirements, when available, shall also be included in solicitations and awards.
- The implementing partner shall incorporate conditions set forth in this IEE into their annual work plans.
- The implementing partner shall ensure annual work plans do not prescribe activities that are defined as limitations, as defined in Section G.

G. LIMITATIONS OF THE IEE:

This IEE does not cover activities involving:

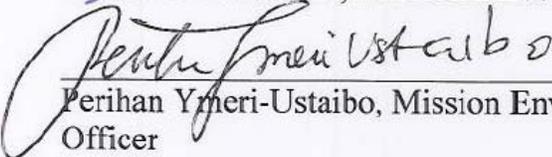
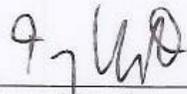
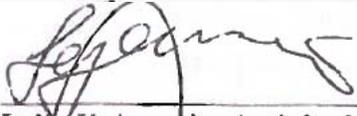
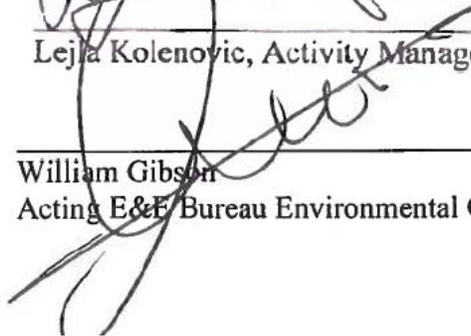
- Medium and Large Scale industries and agro processing facilities are not included. Such activities would be considered a positive determination pursuant to 216.2(d)(1)(x) industrial plants.
- Medium and large scale water and sanitation activities having the potential for significant effects on the environment as outlined in 22 CFR 216.2(d)(1)(xi).
- Programs of river basin management, irrigation or water management, agricultural land leveling, drainage projects, large scale mechanization, new lands development, resettlement projects, penetration road building or road improvements greater than 1 km, and power plants.
- Support to extractive industries (e.g. mining and quarrying).
- Support for activities that promote timber harvesting;
- Assistance for the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, cleanup of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials. Pesticides cover all insecticides, fungicides, rodenticides, etc. covered under FIFRA – ‘Federal Insecticide, Fungicide, and Rodenticide Act’.
- Potential activity components dealing with privatization of industrial facilities or infrastructure with heavily polluted property. In such cases, an amendment to the IEE shall be required to conduct Environmental Liability Assessment (ELA) as part of the privatization process.
- Procurement or use of genetically modified organisms (GMOs).
- Project preparation, project feasibility studies, and infrastructure investments for projects that may have a potentially significant impact on the environment. New construction

Any of the above actions would require an amendment to the IEE approved by the BEO.

H. REVISIONS:

Pursuant to 22 CFR 216.3(a) (9), if new information becomes available that indicates that activities covered by the IEE might be considered “major” and their effect “significant,” or if additional activities are proposed that might be considered “major” and their effect “significant,” this recommendation for a Categorical Exclusion/Negative Determination with conditions will be reviewed and, if necessary, revised by the MEO with concurrence by the BEO. It is the responsibility of the USAID AOR/ COR to keep the MEO and BEO informed of any new information or changes in the activity that might require revision of the IEE.

USAID Approval of Recommended Environmental Threshold Decision:

Approval :		6/21/13
	Maureen A. Shauket, Mission Director	Date
Clearance:		06/19/2013
	Perihan Ymeri-Ustaibo, Mission Environmental Officer	Date
Clearance :		6/20/2013
	Tanya Urquieta, DGO Director	Date
Clearance :		06/19/2013
	Lejla Kolenovic, Activity Manager	Date
Concurrence:		Aug 19, 2013
	William Gibson Acting E&E Bureau Environmental Officer	Date

Distribution:

IEE File
Mission Environmental Officer (to also provide a copy to AOR/COR)

Attachments:

- Annex 1: Applicable Environmental Mitigation and Monitoring Plans (EMMPs) for Small Scale Road, Bridge, Facility Infrastructure Rehabilitation, Water Supply, and Support to Agribusinesses
- Annex 2 : Certification of No Adverse or Significant Effects on the Environment
- Annex 3: Record of Compliance with the EMMP
- Annex 4: Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes

ANNEX 1
APPLICABLE ENVIRONMENTAL MITIGATION AND MONITORING PLANS (EMMPS)
For Small Scale Road, Bridge, Water Supply, Facility Infrastructure Rehabilitation, and
Support to Agribusinesses Activities

Environmental Mitigation and Monitoring Plan for Road and Bridge Rehabilitation

Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Party(ies)
Small Scale Road and Bridge Rehabilitation				
Impact to Threatened, Endangered & Protected Species (TES) and disruption of sensitive habitats	<p>Use biologist experienced with TES and their habitat.</p> <p>Conduct survey of amphibian crossings.</p> <p>Conduct surveys of plant species along roads.</p> <p>Conduct additional survey of sites where protected birds, bats, amphibians and reptiles may use habitats along roads.</p> <p>Develop TES program to protect TES and habitats.</p> <p>Implement TES protection programs including worker training to identify and protect TES and habitats.</p>	<p>Conformance with TES Program</p> <p>Surveys by TES biologist.</p> <p>Inspections by TES biologist.</p> <p>Number of TES identified</p> <p>Number of TES habitats protected</p> <p>Number of employees trained.</p>	<p>Survey reports for TES/habitat identification and protection</p> <p>Inspection at the start of the activity and at least monthly thereafter during construction</p> <p>TES protection report at end of construction, including mitigation measures for road operation & maintenance (O&M) period.</p>	<p>Requirements specified in contracts</p> <p>Periodic inspections by implementer</p>
Impacts to wetlands and other natural resources; disturbance or threat to important ecological habitats .	<p>Use biologist experienced with wetlands and ecological habitats.</p> <p>Conduct assessment of riparian habitats.</p> <p>Develop program to protect habitats.</p> <p>Implement habitat protection programs including worker training to identify and protect habitats.</p>	<p>Surveys and inspections by biologist.</p> <p>Number of habitats protected</p> <p>Number of employees trained</p> <p>Photo logs</p>	<p>Survey reports for protecting habitat.</p> <p>Inspections monthly during construction.</p> <p>Habitat protection report at end of construction, including mitigation measures for road O&M</p>	<p>Requirements specified in contracts</p> <p>Periodic inspections by implementer</p>

Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Party(ies)
Impacts to wetlands and riparian habitats along roads	Implement mitigations habitat protection report at end of construction period.	Number of wetlands and habitats protected. Number of habitat inspections.	Quarterly in first year and annually after first year.	Requirements specified in contracts Periodic inspections by implementer
Impacts to Cultural and Historic Resources including Cultural or Historic Chance Finds.	Establish and maintain a documented chance finds procedure and provide regular worker training to identify and protect cultural or historic chance finds.. Remove & dispose of old road materials to offsite disposal site that protects cultural and historic resource sites. Revegetate to protect cultural/historic site. Prevent erosion and changes to existing waterways.	Complaints by residents or members of cultural or historic site. Photo logs	Inspection at the start of the activity and at least monthly thereafter during construction	Requirements specified in contracts Periodic inspections by implementer
Construction camp damage to local habitats and depletion of local fauna/flora.	Choose or develop design standards for construction camps Analyze area for possible habitat or fauna/flora damage, select proper site for construction camp Keep camp size to minimum Explore off-site accommodation for crews Provide adequate quantity of food and cooking fuels Train workers to protect local habitat and local fauna/flora, create defined footpaths	Conformance with design standards Complaints from nearby residents. Photo logs	Inspection at the start of the activity and at least monthly thereafter during construction phase; once during demobilization	Requirements specified in contracts Inspections by implementer
Impacts from lack of environmentally sound facilities or poor sanitation at construction camp facilities (Soil and Water Contamination)	Choose or develop design standards for construction camps Provide sound temporary sanitation facilities (e.g., dry toilets or pit latrines, cleanup of food services, trash/waste	Conformance with design standards Complaints from nearby residents. Photo logs	Inspection at the start of the activity and at least monthly thereafter during construction phase;	Requirements specified in contracts Inspections by

Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Party(ies)
	collection bins Provide off-site housing for workers Use minimum camp size Remove and restore site after construction is completed		once during demobilization	implementer
Impacts from lack of management of construction areas, equipment and materials storage areas (Soil and Water Contamination)	Develop mobilization and demobilization plans Install fence and signs Set protocols for storage of materials and wastes Set protocols for equipment storage and maintenance Limit onsite equipment maintenance, require most maintenance offsite Store fuels and lubricants in safe place, provide spill protection, emergency response procedures Prevent dumping of hazardous materials Prevent dumping of other non-construction waste Remove and restore site after construction is completed	Conformance with mobilization and demobilization plans, fuels and lubricant storage, and waste management protocols. Inspection of shipping manifests, landfill receipts, and photo logs Complaints from nearby residents Photo logs	Inspection at the start of the activity and at least monthly thereafter during construction	Requirements specified in contracts Inspections by implementer
Community impacts from introduction of alcohol and other socially destructive substances via construction crews.	Prohibit alcohol and socially destructive substances in construction camps Use local or regional labor if possible Install signs and reminders that alcohol/substances are prohibited	Camp inspections Complaints from nearby residents	Monthly during construction	Requirements specified in contracts Inspections by implementer
Impacts from lack of control of stormwater runoff during road and bridge rehabilitation	Choose or develop design standards for road surface drainage, bridge opening, culvert installation, erosion control, revegetation, stream crossing, sensitive areas, steep slopes, etc.	Conformance with design standards and stormwater and erosion control plans Complaints from nearby	Monthly during construction	Requirements specified in contracts Inspections by

Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Party(ies)
	Develop a storm water and erosion control plans Install stormwater control barriers (hay bales, filters) to prevent erosion Restore site through replanting, reseeding and soil erosion measures (especially after old road materials removed)	residents Photo logs		implementer
Impacts on roads from transporting new road and bridge materials, concrete and asphalt, drainage collectors/pipes and transporting waste materials for disposal.	Choose or develop design standards for material transport and storage Select transportation routes (change routes) to minimize impacts on roads and local residents. Inspect roads along transportation routes. Restore damaged roads to original condition.	Conformance with design standards including road and transportation routes. Complaints from nearby residents.	Monthly during construction	Requirements specified in contracts Inspections by implementer
Impacts from removal and disposal of old/damaged asphalt, road subsurface materials, sidewalks, drainage collectors/pipes (Soil and Water Contamination)	Protect area next to channel berm. Use construction lines to mark construction zone. Provide dust control during extraction and disposal of spoil and sediment. Train workers to protect surrounding environment Materials stored onsite, protected from stormwater runoff or wind until transport for disposal Prevent soil erosion	Monitor waste quantity (kg (m3)) Inspection of roads Complaints from nearby residents Percentage of workers and supervisors with up-to-date training records Photo logs	Monthly during construction	Requirements specified in contracts Inspections by implementer
Impacts from improper extraction of road and bridge materials (quarry and gravel pits and barrow pits)	Choose or develop design standards for material extraction Contractor prohibited from operating their own quarry or gravel pit Construction materials purchased from quarry providers with proven environmental protection programs and closure plans, no violations of	Certifications of selected quarries and gravel providers Inspection of suppliers Complaints from residents near quarries, gravel pits or barrow pits.	Once before contracting with quarries, gravel or earthen fill suppliers and monthly during construction	Requirements specified in contracts Inspections by implementer

Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Party(ies)
	environmental regulations Quarries, gravel pit and/or barrow pit operators have permits and stormwater management programs			
Impacts from road and bridge rehabilitation (Add compaction of roadbed and addition of materials for subsurface layers and pavement)	Protect area next to road and bridge. Use construction lines to mark construction zone. Train workers to protect surrounding environment Minimize use of heavy machinery Restore site through replanting, reseeded and soil erosion measures Adhere to road design and engineering specs and follow best practices Use BMPs for maintenance and storage of equipment	Conformance with plans and BMPs Complaints from nearby residents. Percentage of workers and supervisors with up-to-date training records Photo logs	Monthly during construction	Requirements specified in contracts Periodic inspections by implementer
Impacts from rehabilitation of sidewalks and drainage collectors/pipes (Soil and Water Contamination)	Protect area next to area being improved Train workers to protect surrounding environment Prevent erosion and changes to existing waterways Minimize use of heavy machinery	Camp inspections Complaints from nearby residents Percentage of workers and supervisors with up-to-date training records Photo logs	Monthly during construction	Requirements specified in contracts Periodic inspections by implementer
Noise, Odor and Visual Quality Impacts	Schedule trucks carrying waste/construction materials to minimize local impacts. Minimize use of heavy equipment during early morning and nights	Visual inspections Complaints from users and nearby residents.	Monthly during construction	Requirements specified in contracts Periodic inspections by implementer
SocioEconomic Impacts	Hire local workers. Community public meetings to share mitigation information.	Number of local workers Number of public meetings.	One time during construction phase	Requirements specified in contracts Periodic inspections by implementer

Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Party(ies)
Public Health and Safety Impacts	Documented safety procedures. Maintain regular worker safety training Provide workers with protective equipment (e.g., gloves, boots, eyewear). Manage construction traffic to protect children and the community. Signs clearly displayed Protect public from stored waste/construction materials or abandoned structures Document underground and surface utilities/structures	Conformance with safety procedures Percentage of workers and supervisors with up-to-date training records Number of accidents and injuries. Complaints from nearby residents	Inspection at the start of the activity and at least monthly thereafter during construction	Requirements specified in contracts Periodic inspections by implementer
Impacts from road ruts, potholes, mud-holes, wash boarding (Soil and water contamination)	Better routine maintenance of roads using high quality gravel and asphalt material Remove materials blocking roads Inspect roads for early identification of problems Provide worker training for improved maintenance and early identification of problems	Number of maintenance measures implemented Number of road inspections	Quarterly in first year and annually after first year.	Requirements specified in contracts Periodic inspections by implementer
Impacts from clogged drainage collectors/pipes, standing water and water pools (potential disease vectors)	Better routine maintenance of culverts, drainage collectors/pipes, side channels/runoff (runoff ditches) Remove materials blocking drainage collectors/pipes/culverts Inspect drainage systems for early identification of problems Provide worker training for improved maintenance and early identification of problems	Number of maintenance measures implemented Number of drainage inspections	Quarterly in first year and annually after first year.	Requirements specified in contracts Periodic inspections by implementer

Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Party(ies)
Road improvements increase traffic and vehicle speed, higher accident rates (Socioeconomic Impact)	Plan for, procure and equip rehabilitated roads with adequate traffic control signs and equipment Integrate safety features into engineering design (speed control signs, streetlights, pedestrian crossings, proper road markings)	Number of accidents Complaints from nearby residents	Quarterly in first year and annually after first year.	Requirements specified in contracts Periodic inspections by implementer
Soil, Water and other Environmental Impacts due to weak Road and Bridge Maintenance Programs	Strengthen road and bridge maintenance programs (organize data collection, identify O&M problems throughout the roads network and design solutions including better road operating guidance, preventive maintenance, program schedules and activities, training for stronger management systems for maintenance workers including use of “how-to” guides and information on best practices.	Number of municipalities participating in municipal maintenance strengthening Number of requests for assistance to improve road maintenance Number of inspections Number of complaints from nearby residents	Quarterly in first year and annually after first year.	Leadership and periodic inspections by implementer with initial start-up support from implementer

Environmental Mitigation and Monitoring Plan for Facility Rehabilitation with No Asbestos

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
1) Building rehabilitation 2) Delivery of water & wastewater services	Unsafe Water Provided Surface & Groundwater Contamination (Soil Contamination)	<ul style="list-style-type: none"> Provide clean water for drinking, hand washing & other building needs by: <ul style="list-style-type: none"> A) Doing initial surface/groundwater quality and quantity testing B) Using proper groundwater drilling methods (if applicable) C) Doing ongoing periodic water quality testing D) Employing signs & training to conserve clean water Install wastewater treatment where needed, e.g.,: <ul style="list-style-type: none"> A) Septic Tanks: Use for domestic sewage; include maintenance/cleaning requirements & install drain fields B) Protect drain fields, keep children out Minimize local impacts from construction materials 	<ul style="list-style-type: none"> Quantity of water (m³), quality of clean water (pathogens, other biologic & chemical parameters) Water use /discharge permit obtained (if applicable) Complaints from users & nearby residents 	At project initiation & then monthly or quarterly	Implementer, Requirements shall be specified in contract/grant/loan agreements
	Solid waste management (Soil & Groundwater Contamination)	<ul style="list-style-type: none"> Collect/segregate solid waste, reuse or dispose according to local regulations (in suitable landfills, if available) Solid waste management plan developed prior to starting activity/operation to include as appropriate proper management of hazardous materials (especially asbestos- See EMMP for Asbestos Remediation) & previously stored hazardous items), used or excess supplies or consumables, used batteries, used oils, used fluorescent tubes, hazardous material containers, etc.) Plan should include adequate employee training on waste management 	<ul style="list-style-type: none"> Types of solid waste & waste quantity (kg (m³)) Record review & site inspections Complaints from nearby residents Records of required waste permits 	At project initiation & then monthly or quarterly	Implementer

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
	Air Pollution Impacts	<ul style="list-style-type: none"> • Use low emissions & energy efficient windows & building materials, high efficiency lighting, low emission burners in boilers • Use environmentally acceptable fuels for heating equipment • Replace high greenhouse gas emissions fuels (e.g., coal) with cleaner fuels like natural gas, if possible • Use best available technology for minimizing use/release of ozone depleting substances (ODS) 	<ul style="list-style-type: none"> • Concentration of relevant pollutants (mg/m³) • Complaints from nearby residents • Amounts & dates of ODS recovery • Up-to-date certification of ODS handlers 	At project initiation & then monthly or quarterly	Implementer
	Noise, Traffic Congestion, Odor, & Visual Quality Impacts	<ul style="list-style-type: none"> • Schedule trucks bringing building materials to minimize local impacts • Provide workers with protective equipment 	<ul style="list-style-type: none"> • Visual • Complaints from users & nearby residents 	Quarterly	Implementer
	Socioeconomic Impacts	<ul style="list-style-type: none"> • Avoid discharges to sensitive ecosystems • Minimize visible smoke & boiler air emissions • Hire local workers • Community public meetings to share mitigation information • Obtain required building alteration permits 	<ul style="list-style-type: none"> • Visual • Number of trained workers • Number of public meetings • Records of required permits 	At project initiation & then quarterly	Implementer
	Occupational & Public Health & Safety Impacts	<ul style="list-style-type: none"> • Establish documented occupation safety procedures & provide regular safety training • Provide workers with protective equipment (e.g., gloves, boots, eyewear) • Adopt fire precautions (e.g., working fire protection equipment, ban on smoking) • Manage construction traffic to protect children & the community • Signs clearly displayed 	<ul style="list-style-type: none"> • Inspection of fire protection equipment • Number of accidents & injuries • Audits safety procedure/training conformance 	At project initiation & then quarterly	Implementer

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
	Resource depletion & indirect impacts from energy & water use	<ul style="list-style-type: none"> • Use high efficiency heating, cooling, & lighting systems & perform regular maintenance to optimize performance • Implement water conservation & re-use measures whenever appropriate • Use environmentally preferable building materials 	<ul style="list-style-type: none"> • Plans & specifications that address resource depletion reduction for retrofits 	At project initiation & then quarterly	Implementer

Environmental Mitigation and Monitoring Plan for Support for Rehabilitation of Existing Facilities with Asbestos Remediation

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
1) Asbestos Containing Material 2) Asbestos-tiled Roofs 3) Asbestos with Corrugated Sheetmetal Plates 4) Asbestos Insulation	Preparing for Asbestos Removal Asbestos Contamination	<ul style="list-style-type: none"> Determined during the design phase that there is no alternative but to proceed in a way that causes an AC pipe to become <i>crumbled, pulverized, or reduced to powder</i> during the excavation, disconnection, replacement or other activities Preparing for asbestos removal. Considerations: <ul style="list-style-type: none"> A) Spray amended water (1:200 soap-to-water) to keep asbestos containing material (ACM) damp, but not saturated B) Place ACM in disposal bags, do not allow to accumulate on floor) C) Use HEPA vacuums & damp cloth wiping to stop fiber migration or fibers becoming airborne, do not use dry sweeping D) Use 6 mil polyethylene sheeting as barriers for doors, windows, vents, ACM breakage/cutting E) <u>Avoid certain activities such a sawing, sanding and drilling asbestos contain material</u> 	<ul style="list-style-type: none"> Inspections Amounts of ACM (kg) ACM removal permit (if applicable) Complaints from nearby residents 	Daily or Weekly	Implementer, Requirements shall be specified in contract/grant/loan agreements
	Asbestos Contamination During Removal	<ul style="list-style-type: none"> All persons working with or near asbestos cement pipe that can potentially be disturbed <i>must be qualified and should employ specific safe work practices and engineering controls</i> at all times Asbestos removal procedures. <ul style="list-style-type: none"> A) Removal of ACM panels intact, if possible and place in disposal bags B) Removal of ACM screwed-in panels after wetting screw heads. Clean holes with damp (amended water) cloth 	<ul style="list-style-type: none"> Inspections Amount of ACM (kg) Inspections Complaints from nearby residents Respiratory illnesses incidents in the neighborhood 	Daily or Weekly	Implementer

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
		<p>C) Removal of ACM riveted panels. (Describe expected rivet removal steps). Minimize breakage, use amended water to minimize the dust creation and airborne release</p> <ul style="list-style-type: none"> Place ACM & disposable overalls in 6-mil poly bags. Then label and tightly seal bag; wipe outside bag with cloth (amended water); and remove bags for storage in a designated location 			
	ACM Disposal	<ul style="list-style-type: none"> Transport waste ACM & bags of contaminated clothing to disposal site in a covered truck marked with plaque and shipped to the designated disposal site (adm. Order #07/2009). Excavate special place in landfill, build wooded encasement structure, and bury 1 meter underground Mark site with permanent warning sign 	<ul style="list-style-type: none"> Shipping manifest Transport and Disposal permits Amount of ACM (kg) Complaints from nearby residents Final ACM removal & disposal report (details of what was done, any problems or unexpected exposures, lessons learned) 	Daily/ Weekly	Implementer
	Socioeconomic Impacts	<ul style="list-style-type: none"> Protect ecosystems in/ near facilities with asbestos Public meetings with community to share information on asbestos removal, handling & disposal Avoid asbestos disposal near sensitive ecosystems Hire local workers Community public meetings to share mitigation 	<ul style="list-style-type: none"> Inspections. Number of public meetings Number of complaints Respiratory illnesses incidents 	Weekly	Implementer

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
		information			
	Public Health & Safety	<ul style="list-style-type: none"> • Limit access to facility during demolition, asbestos removal & transportation for disposal • Written asbestos safety TSD procedures for workers & the public (Kosovo Administrative order #07/2009) • Provide workers with protective equipment • (e.g., Respirators (negative pressure, P100 equivalent particulate filter, half-face or full-face), gloves, disposable overalls) • Decontamination washing facility to wash workers from head to toe • Signs clearly displayed 	<ul style="list-style-type: none"> • Inspection to insure safety equipment is used by credible manufacturer specifications • Number of accidents & injuries 	Daily or Weekly	Implementer

Environmental Mitigation and Monitoring Plan for Water Supply Rehabilitation and Development Activities

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
Planning and Design					
Identification and weighing of alternatives	<ul style="list-style-type: none"> • Over-extraction of ground water • Number of wells • Anticipated pumpage rate per well • Proximity to other groundwater users • Projected drawdown cone • Safe yield of aquifer • Identification of nearby pollution sources • Climate change • Impact of irrigation on water supply 	<ul style="list-style-type: none"> • Identify known and potential areas of ecological, archeological, paleontological, historic, religious or cultural significance and ecologically sensitive areas such as high quality forests, wetlands, and other areas of high biodiversity or threatened species along possible rehabilitation routes and potential well-fields • Conduct hydrogeological study which would include a description of the nature and extent of the aquifer, aquifer testing, modeling to determine extent of drawdown and optimum pumping rates to reduce impact, development of a well field management plan, and development of well head protection program • Conduct a climate change vulnerability study 	Natural resource inventory and maps Well and spring survey Groundwater quality Water levels Recharge and discharge areas	At the start of the activity	MEO/COTR and Implementer
Establishing design standards	<ul style="list-style-type: none"> • Damage valuable ecosystems and habitats • Damage valuable historic, religious, cultural, and paleontological resources • Change local culture and society • Cause soil erosion • Degrade water quality and/or alter hydrology 	<ul style="list-style-type: none"> • Choose or develop design standards for each rehabilitation activity, e.g., installation of new water mains, erosion control, revegetation, sensitive areas, steep slopes, material extraction, transport and storage, construction camps, waste disposal, etc. • Provide plans to identify and protect sensitive habitats • Develop a storm water and erosion control plan for all projects • Develop mobilization and de-mobilization plans 	Conformance with: <ul style="list-style-type: none"> • Documented design standards • Natural resource protection plan • Storm water and erosion control plan • Well head protection plan • Mobilization and de-mobilization plans 	At the start of the activity	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
	<ul style="list-style-type: none"> Lead to injury, disease, or death of workers, and local residents 				
Permitting	Construction permits Water rights	<ul style="list-style-type: none"> Obtain all required permits 		At the start of the activity	Implementer
Water extraction from a well field	<ul style="list-style-type: none"> Surpass design extraction rates Temporary depletion of the local aquifer. Periodic shortfalls in water supply to the network, leading to service cuts to customers Well field contamination Provide water contaminated with nutrients and bacteria from animal waste Lower the water table effecting nearby users of groundwater. Affect environmental flow of nearby rivers 	<ul style="list-style-type: none"> Conduct hydrological study and establish sustainable withdrawal rates from test wells Test water quality for contaminants and design to treat Monitor water levels Evaluated efficiency of well(s) and pump(s) every 5 years The Municipality should review extraction rates every six months and adjust based on experience to avoid unsustainable extraction rates. Establish adequate protective zone around well field Fence well field In coastal areas, keep withdrawals within safe yield limits to avoid overdrawing, possible salt water intrusion and contamination of the well Put in place a system for regulating use, such as a local warden or appropriate pricing 	<ul style="list-style-type: none"> Certification of well driller Certified water quality test Treatment design Completion of needed studies Well log maintained Photo documentation 	At the start of the activity and at least monthly thereafter or as required by local code	Implementer and Sanitary Epidemiological Supervision Service
Mobilization					
Site preparation and clearance Establishment of	<ul style="list-style-type: none"> Site clearance waste Dust emissions Temporary drainage 	<ul style="list-style-type: none"> Implement mobilization plans that optimize avoidance of environmental impact Use designated landfill site for material disposal 	<ul style="list-style-type: none"> Conformance with mobilization plan Shipping manifests, 	At the start of the activity and	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
staging areas	impairment <ul style="list-style-type: none"> • Noise and traffic nuisance • Soil compaction and contamination • Vegetation loss 	<ul style="list-style-type: none"> • Implement measures to minimize drainage impacts • Clearly delineate boundaries and minimize staging area footprints • Minimize disturbance of native flora during construction. Minimize the amount of clearing. Clear small areas for active work one at a time • Avoid use of herbicides. • Where possible, remove large plants and turf without destroying them, and preserve them for replanting in temporary nurseries • Move earth and remove vegetation only during dry periods. Store topsoil for respreading. If vegetation must be removed during wet periods, disturb ground only just before actual construction • Install temporary erosion control features when permanent ones will be delayed. Use erosion control measures such as hay bales, berms, straw or fabric barriers • Re-vegetate with recovered plants and other appropriate local flora immediately after equipment is removed from a section of the site 	landfill receipts, photo logs <ul style="list-style-type: none"> • Number of documented actions • Placement of signs and perimeter markings • Vegetation surveys 	at least monthly thereafter	
Sourcing of Material (if applicable)					
Materials extraction	<ul style="list-style-type: none"> • Damage aquatic ecosystems through erosion and siltation • Harm terrestrial ecosystems via harvesting of timber or other natural products 	<ul style="list-style-type: none"> • Develop plans for sourcing materials and identify the most environmentally sound source of materials within budget • Site quarries and gravel pits so that they are not visible to travelers on the roads • Decommission/restore area so it is suitable for sustainable use after extraction is completed • Install drainage structures to direct water away 	Conformance with sourcing plans Photo documentation	At the start of the activity and at least monthly thereafter	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
	<ul style="list-style-type: none"> • Spread vector-borne diseases when stagnant water accumulates in active or abandoned quarries or borrow pits and breeds insect vectors • Take land out of other useful production • The quarry may become a safety hazard 	<p>from pit</p> <ul style="list-style-type: none"> • Implement safety protocols to minimize risks from falling rock or debris, collapsing quarry walls, or accidental falls from cliffs • Discuss with local community the option of retaining quarry pits as water collection ponds for watering cattle, irrigating crops or similar uses. Highlight issues of accidental drowning, disease transmission, and the need to prohibit its use for drinking, bathing, and clothes washing 			
Water Supply System Rehabilitation					
<p>Transport and storage of source materials</p> <p>Distribution construction, rehabilitation</p> <p>Placing/rehabilitating pipes, including trenching</p>	<ul style="list-style-type: none"> • Odor and particular matter emissions • Soil and water contamination from spills • Siltation and scouring from storm water discharge • Occupational safety mishaps • Public safety risks • Alternation of drainage leading to soil erosion, water quality degradation, altered hydrology, and damage to valuable ecosystems 	<ul style="list-style-type: none"> • Implement construction plans and schedule work during appropriate times and weather conditions • Provide worker safety and PPE use training • Use water sprinklers when necessary to reduce dust • Control access to work zones • Plan and implement proper storm water BMPs, including worker training • Use BMPs for maintenance and storage of equipment • Install drainage structures during construction • Clearly define the type of re-construction, rehabilitation method to be used for each section of the distribution network • DO NOT disturb old asbestos pipes, lay new pipes parallel to existing pipes. See additional guidance below for dealing with ACM 	<ul style="list-style-type: none"> • Conformance with construction, traffic management, and storm water BMP plans • Percentage of workers and supervisors with up-to-date training records • Photo logs • Number of spills, accidents, safety incidents • Conformance with drainage design • Monitor waste quantity (kg (m3)) • Monitor amounts of waste (tons) • Site inspections • Complaints from nearby 	<p>After significant rain events, or at least monthly</p> <p>Visually spot-check for drainage problems</p> <p>Requirements specified in contracts</p>	<p>Implementer</p>

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
	and habitats <ul style="list-style-type: none"> • Impacts from removal and disposal of irrigation channel spoil, sediment bushes/trees • Impacts from removal old asbestos pipes • Traffic Congestion 	<ul style="list-style-type: none"> • Protect area next to trenching activities. Use construction lines to mark construction zone • Minimize removal of brush/brush cutting • Provide dust control during extraction and disposal of spoil and sediment • Train workers to protect surrounding environment • Remove sediment under bridges by hand • Materials stored onsite, protected from storm water runoff or wind until transport for spreading or beneficial use/disposal • Minimize use of heavy machinery • Dispose in landfill if no alternate use available 	farmers or residents		
Encountering wetlands	Degrade wetland, damaging the valuable ecosystems and habitats Alter hydrology	<ul style="list-style-type: none"> • Take special precautions to prevent release or dumping of debris, oil, fuel, sand cement and similar harmful materials • Maintain natural flow patterns of groundwater and near-surface water • Maintain at least a 500 meter separation from identified wetlands. 	Hectares of wetland impacts avoided Photo documentation	At the start of the activity and at least quarterly thereafter	Implementer
Encountering asbestos pipes	Earthwork taking place in sites with asbestos pipes currently in operation	<ul style="list-style-type: none"> • Accurately demarcate location of asbestos pipes and excavate cautiously long the marked area to avoid contact with existing pipes. • In case of unintended unearthing of asbestos pipes, immediately backfill the dug-out area, compact soil, and place warning signs 	<ul style="list-style-type: none"> • Construction logs 	Throughout construction	Implementer
Establishing and maintaining construction camp and crew	<ul style="list-style-type: none"> • Damage local habitat, compact soil and create erosion via building and occupation of construction camp • Contaminate surface 	<ul style="list-style-type: none"> • Explore off-site accommodation for crew. Avoid wet, muddy sites • Keep camp size to a minimum. Require that crew preserve as much vegetation as possible, e.g., by creating defined foot paths. Define areas of use (with rocks or fencing) • Provide potable water for crew 	Number incidents of ecological or social impact	At least monthly	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
	<p>water and spread disease via solid waste and feces generated by camp</p> <ul style="list-style-type: none"> • Spread communicable diseases including tuberculosis, and STDs via construction crew members who come from outside the region • Introduce alcohol or other socially destructive substances via construction crew • Generate trash due to lack of solid waste management • Adversely affect local fauna and flora (especially game and fuel wood) via poaching and collection by construction crews 	<ul style="list-style-type: none"> • Provide temporary sanitation on site, • Use local or regional labor, if possible. Provide hygiene and public health training to road crews, including information about transmission of STDs • Collect all solid waste (metal, glass, and burnable materials) from all work and living areas. Dispose of waste in local dump or landfill. • Set guidelines prohibiting the poaching and collection of plants/wood, with meaningful consequences for violation, such as termination of employment. Provide enough food and cooking fuel • Restore site through re-vegetation using native species 			
Implementation of the leakage detection program	<ul style="list-style-type: none"> • Pollution with waste, construction wastes, sediments of lubricants and oil and damage of plants • Noise, vibration, 	<ul style="list-style-type: none"> • Basic proper construction norms and standards applied while the construction 	<ul style="list-style-type: none"> • Construction logs • Complaints from residents 	Periodical check	Implementer

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
	limited access, traffic discomfort, water supply delay and hazard to the workers' security, pavements and traffic				
Construction Demobilization					
Demobilization cleanup	<ul style="list-style-type: none"> • Generation of solid and hazardous waste • Loss of habitat or other environmental degradation 	<ul style="list-style-type: none"> • Implement plans for returning the site to the original/or otherwise acceptable condition • Use designated landfill sites for material disposal 	<ul style="list-style-type: none"> • Conformance with demobilization plans • Shipping manifests, landfill receipts, photo logs 	At project completion	MEO/COTR and Implementer
Testing, Operation, and Maintenance of Water Supply Systems					
Water Quality Monitoring	<ul style="list-style-type: none"> • Safety hazards from chlorination processes 	<ul style="list-style-type: none"> • Flush pipes upon completion of works, notifying public • Continuous control of chlorination stations • Training of operators • Installation on chlorine leak detectors • Require protection and emergency response equipment for operators 	<ul style="list-style-type: none"> • Public notice • Training log • Maintenance log • Visual inspection • Water quality testing 	At the handover by implementer and monthly (operator)	Implementer and operator and Sanitary Epidemiological Supervision Service
	<ul style="list-style-type: none"> • Pollution of water sources due to domestic animals, septic fields, industrial operations 	<ul style="list-style-type: none"> • Ensure water source protection zones • Emergency spill plan in place 	<ul style="list-style-type: none"> • Visual inspection 	At the handover by implementer and monthly (operator)	Implementer and operator
Water pump maintenance	<ul style="list-style-type: none"> • Ground and water pollution • Periodic shortfalls in water supply to the network, leading to service cuts to customers 	<ul style="list-style-type: none"> • Proper handling, storage and disposal of fuels and lubricants • Proper disposal of pumps • Promote sustainability through cost recovery 	<ul style="list-style-type: none"> • Visual inspection • Maintenance logs 	At the handover by implementer and monthly (operator)	Implementer and operator

Activity	Identified Environmental Aspects or Impacts	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible
Water extraction from a well field	<ul style="list-style-type: none"> • Surpass design extraction rates • Temporary depletion of the local aquifer. Periodic shortfalls in water supply to the network, leading to service cuts to customers • Well field contamination • Provide water contaminated with nutrients and bacteria from animal waste • Create pools of stagnant water • Change groundwater flow • Create saltwater intrusion • Deplete aquifer (groundwater) • Cause land subsidence (impact from many wells) 	<ul style="list-style-type: none"> • Conduct hydrological study and establish sustainable withdrawal rates from test wells • The Municipality should review extraction rates every six months and adjust based on experience to avoid unsustainable extraction rates. • Establish adequate protective zone around well field • Maintain fenced well field • Don't let animals graze or be watered up-gradient from wellhead • Monitor and repair leaks from cracked containment structures, broken pipes, faulty valves and similar structures • Include a focus on proper use and maintenance of the improvement as part of the behavior change and education program • Monitor water levels and water quality • Determine potential impacts to nearby groundwater users and be able to replace wells if necessary • Manage irrigation to reduce consumption. • Apply a fair water pricing system that not only promotes the conservation of water but also pays for maintenance of pumps, reticulation systems, and water treatment. 	<ul style="list-style-type: none"> • Certified water quality test • Treatment design • Completion of needed studies • Well log maintained • Photo documentation 	At the start of the activity and at least monthly thereafter or as required by local code	Implementer and operator

The following guidelines will be used to govern contractor requirements to be incorporated into design and construction specifications to minimize and/or contain asbestos fibers when there is the potential to disturb ACM (Asbestos Containing Material):

Asbestos Containing Material (ACM) Operation and Maintenance Procedures: Minimize/contain asbestos fibers when there is the potential to disturb

1. Wet methods (such as applying water to ACM with a low pressure sprayer).
2. Use of mini-enclosures.
3. Use of portable power tools equipped with special local ventilation attachments.
4. Area isolation.
5. Avoidance of certain activities, such as sawing, sanding, and drilling ACM.

If in doubt about the possibility of disturbing ACM during maintenance activities, adequate precautions should be taken to minimize fiber release; these will protect workers as well as the building environment.

Wet Cleaning

Proper O&M cleaning will involve the use of wet cleaning or wet-wiping practices to pick up asbestos fibers. Dry sweeping or dusting can result in asbestos fibers being re-suspended into the building's air and therefore should not be used. Once wet cloths, rags, or mops have been used to pick up asbestos fibers, they should be properly discarded as asbestos waste while still wet. They should not be allowed to dry out, because the collected fibers might be released at some later time when disturbed.

HEPA Vacuums

The use of special vacuum cleaners, commonly referred to as HEPA (high efficiency particulate air) vacuums, may be preferable to wet cleaning in certain situations. These vacuums are equipped with filters designed to remove very small particles or fibers, such as asbestos, by filtering those particles from the air passing through the vacuum. Because the exhaust air from an ordinary vacuum cleaner is not filtered sufficiently, it is possible for tiny asbestos fibers to pass through the filter and back into the building air.

Special procedures are generally needed to minimize the spread of fibers in the building after asbestos fiber release occurs.

It is important for O&M workers to use caution when emptying HEPA vacuums and changing the filters because exposures could result from such activities. Before emptying the HEPA vacuums, workers should move the HEPA vacuum to a physically isolated area of the facility and put on proper personal protective equipment before emptying the dust and debris into properly labeled, sealed, and leak-tight containers for disposal as asbestos-containing waste. When custodial workers are not trained to work with ACM, trained maintenance workers can be used to empty the HEPA vacuums and change their filters.

Worker Personal Protective Equipment

Protective Clothing

Most often, protective clothing is disposable and consists of coveralls, a head cover, and foot covers made of a synthetic fabric which does not allow asbestos fibers to pass through. This type of clothing can prevent workers' regular clothing from becoming contaminated with asbestos fibers.

Contaminated clothing should not be taken home to avoid creating a possible risk to the worker's family members.

When in doubt about exposure during a certain work operation, building owners should provide respiratory protection to custodial and maintenance workers.

It is important that workers be properly trained in the use, removal, and disposal of protective clothing after use. Not all O&M activities require the use of protective clothing so it is important for the asbestos project manager (APM) to assess this need on a case-by-case basis. OSHA regulations require workers to wear protective clothing whenever they are exposed, or likely to be exposed, to fiber levels above permissible limits (US OSHA), which may

be exceeded if ACM pipes are disturbed by workers.

Respiratory Protection

Some O&M tasks may require the use of respirators (reference above chart). The O&M respirator program can be administered by the facility safety and health manager or the asbestos program manager (APM), if properly qualified. As with protective clothing, OSHA regulations require the use of respirators whenever workers are exposed, or likely to be exposed, to fiber levels above OSHA's permissible limits.

Single use, disposable paper dust masks should NOT be used when dealing with asbestos.

The options that should be used include:

- A half or full face-piece, negative pressure, air-purifying respirator with replaceable high-efficiency filters.
- A half or full face-piece powered air purifying respirator (PAPR) with replaceable high-efficiency filters. This has a battery powered pump which assists breathing and provides positive pressure in the face-piece.

Procedures for Asbestos Fiber Release Episodes

Special procedures are generally followed to minimize the spread of fibers in case of a fiber release episode. Depending on the severity of the episode, asbestos abatement consultants and contractors may be helpful in developing a strategy for conducting the cleanup operations. It is important to recognize that different levels of training may be needed for workers involved with fiber release episodes. For instance, the degree of training considered appropriate for dealing with the clean-up of a major release is quite different from the degree of training considered adequate for O&M workers.

Isolate the Area and Alert Site Personnel

In general, for major fiber releases, the area should be isolated by using tents, erecting temporary barriers, and deploying setbacks to restrict airflow as well as access to the site. Signs should be posted as necessary, immediately outside the fiber release site to prevent persons not involved in the cleanup operation from inadvertently entering the area.

Thoroughly Clean and Inspect the Area

The final step should be to employ thorough cleanup procedures to properly control the ACM. Conduct a careful visual inspection and final clearance air monitoring to verify satisfactory cleanup.

Similar procedures can be used for much smaller fiber release events where the amount of ACM is three square or linear feet or less. HEPA vacuuming, wet wiping, and worker protection procedures, as well as wetting ACM wastes and properly placing them in an appropriate leak-tight container (such as a properly labeled, 6 mm thick plastic bag), are examples of some of the procedures that could be used for both major and minor fiber releases.

Environmental Mitigation and Monitoring Plan for Support to Agribusinesses (Existing Facilities Only, No New Construction)

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
1) Pasteurization/ Sterilization Equipment, 2) Cooling Chambers 3) Drying Kilns 4) Collection Centers 5) Milk Collection Points & Lacto Freezers 6) Wood-Waste Briquette/Pellet Production 7) Small Greenhouse Heating Units 8) Feed Mixers/Blenders 9) Packaging Machinery 10) Collecting of Non Timber Forest Products & Medicinal & Aromatic Plants (MAP)	Surface & Groundwater Contamination (Soil Impacts)	<ul style="list-style-type: none"> Install wastewater treatment where needed. Special considerations: <u>A)</u> Septic Tanks: Use for wastewaters with low BOD organic loading & domestic sewage. Include maintenance/cleaning & install drain fields <u>B)</u> Site systems to avoid surface & groundwater contamination Reuse wastewater & prevent pollution at the source. Considerations: <u>A)</u> Reuse wastewater from cleaning of plant matter (roots, berries, leaves, etc.) & nuts <u>B)</u> Ensure protocols in place to properly store, use & dispose of quality control/testing reagents <u>C)</u> Use dry cleanup methods/vacuums, use drain screening, use high pressure nozzles, minimize use of detergents, use spill prevention plans. <u>D)</u> Implementation of proper storage, containment, bulk delivery, etc. procedures to avoid accidents & releases of toxic & hazardous materials <u>E)</u> Adopt ISO 9001 or 14001 & product quality testing to improve production & reduce wastes/losses 	<ul style="list-style-type: none"> Quantity of wastewater (m3) Quality of wastewater (Chemical & biological parameters) Water meter installed Water use /discharge permit obtained (if locally applicable) Complaints from nearby residents 	Monthly or Quarterly	Implementer (requirements shall be specified in contract/grant/loan agreements)
11) Quality Control/Testing	Solid waste management (Groundwater & Soil Impacts)	<ul style="list-style-type: none"> Solid waste management plan developed prior to starting activity/operation (incl. used or excess supplies/consumables, excess products, by-products, oily wastes from oil separators, used batteries, used oils, used light bulbs, excess 	<ul style="list-style-type: none"> Types of Waste & solid waste quantity (kg (m3) Inspections Complaints from 	Monthly or Quarterly	Implementer

Environmental Mitigation and Monitoring Plan for Support to Agribusinesses (Existing Facilities Only, No New Construction)

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
		<ul style="list-style-type: none"> chemical & chemical containers) • Use in-plant waste reduction measures to minimize generation of solid wastes, including re-useable containers/packaging whenever appropriate • Collect agribusiness solid waste, segregate wastes, provide proper storage • Reuse wastes whenever possible. If not reused, dispose according to local regulations (in suitable landfills, if available). • Direct organic wastes suitable for animal feed to farmers. Compostable materials composted • Properly manage oils & lubricants from equipment & vehicle maintenance 	nearby residents		
	Air Pollution Impacts	<ul style="list-style-type: none"> • Install air pollution filters or appropriate treatment where needed • Design ventilation systems to control emissions of smoke & vapors • Use environmentally acceptable fuels for kilns, dryers, heating equipment. Replace fuels with high greenhouse gas emissions (e.g., coal) with clean fuels like natural gas if possible • Use efficient low emission production equipment with high energy efficient ratings. Use low emission burners in boilers • Limit use of hot water, reduce energy demand of lighting & production • Limit idling of trucks & other equipment. • Use best available technology for minimizing use/release of ozone depleting substances 	<ul style="list-style-type: none"> • Concentration of relevant pollutants (mg/m³) • Complaints from nearby residents 	Monthly or Quarterly	Implementer

Environmental Mitigation and Monitoring Plan for Support to Agribusinesses (Existing Facilities Only, No New Construction)

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
	Socioeconomic Impacts, e.g., Over Extraction of Non-Timber Forest Products, Disturbance of Threatened/Endangered Species	<ul style="list-style-type: none"> Protect sensitive ecosystems near facilities. Training to protect endangered species, native plants & wildlife (during collection of MAPs, berries & mushrooms) Seek organic certifications for MAPs Hire local workers Community public meetings to share mitigation information 	<ul style="list-style-type: none"> Inspection of collected materials. Number of trained workers. Organic MAP certifications. Number of public meetings 	Quarterly or Seasonally as needed	Implementer
	Public Health & Safety	<ul style="list-style-type: none"> Adopt fire precautions (e.g., working fire protection equipment, ban on smoking) Written safety procedures Provide workers with protective equipment (e.g., gloves, boots, eyeware) Manage traffic patterns to protect community (children, pedestrians) Signs clearly displayed, control plant admittance 	<ul style="list-style-type: none"> Inspection of fire protection equipment Monitor workers Number of accidents & injuries Complaints from nearby residents 	Quarterly	Implementer
	Resource depletion & indirect impacts from energy & water use	<ul style="list-style-type: none"> Use high efficiency heating, drying, & cooling systems & perform regular maintenance to optimize performance Implement water conservation & re-use measures whenever appropriate 	Amount of electricity, fuel, & water used monthly or quarterly	Monthly or Quarterly	Implementer
	Impacts from pesticide (including fumigants, biocides, herbicides, etc.) use, storage, disposal,	<ul style="list-style-type: none"> Ensure that personnel involved in pesticide management are competent on the basis of training & experience & that training materials adequately address use of personal protective equipment, pesticide safety best practices & apply pesticides Procure or subsidize recommended protective clothing & safety equipment (PPE) for 	Existence of PERSUAP documentation, IPM Plan, training records, use of PPE	At project initiation & then at least quarterly	Implementer

Environmental Mitigation and Monitoring Plan for Support to Agribusinesses (Existing Facilities Only, No New Construction)

Activity	Identified Environmental Impacts	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring & Reporting Frequency	Responsible Party
	transportation, etc.	implementers & beneficiaries that use or procure pesticides with project assistance <ul style="list-style-type: none"> • Pesticide use & application procedures must be IAW an up-to-date PERSUAP • Ensure facilities maintain up-to-date copies of the Material Safety Data Sheets (MSDS) for each of the pesticide products being used • Draft IPM plans for the relevant crops, e.g., as much as practical use target specific biological & plant-based pesticides, try “biological pesticides”, monitor resistance by noting reduction in efficacy of each pesticide product during field visits, & use pesticides with low ground water contamination potential • Apply pesticides only during the appropriate times of day (early morning/late afternoon, low wind, no rain) • Properly wash equipment after use in the field & appropriately mitigate impacts of pesticide-contaminated wash water • Avoid using pesticides in or near the national parks, where animals are grazing & bees are cultivated, & where endangered species are known to exist • Avoid damage to environment through training to avoid non-target (honeybees, aquatic, protected areas, biodiversity) ecosystem • Keep neighbors & commune authorities informed of pesticide application plans 			

ANNEX 2
Certification of No Adverse or
Significant Effects on the Environment
[Template]

The undersigned certifies that all foreseeable significant adverse effects on the environment have been adequately and effectively eliminated or mitigated by the attached Environmental Mitigation and Monitoring Plans (EMMPs) to be implemented at [specify site, activity number]. If new adverse effects or the need for new or improved mitigation measures is identified, I will immediately notify the USAID activity manager/COR/AOR.

[Name], Implementer Project Director/COP: _____

Date: _____

Received by [Name], COR/AOR: _____

Date: _____

ANNEX 3
Record of Compliance with Environmental Mitigation and Monitoring Plans (EMMPs)
[Template]

Subject:	[Site Name/Primary Project Name/IEE DCN Number]
To:	[Name], COR/AOR
Copy:	[Name], Mission Environmental Office
Date:	

The [name of the implementing organization] has finalized its activities at the [site name/activity number] to [describe activities that were undertaken]. This memorandum is to certify that our organization has met all conditions of the EMMP for this site activity. A summary of the how mitigation and monitoring requirements were met is provided below.

1. Mobilization and Site Preparation
2. Site Activity Implementation Phase
3. Site Closure Phase
4. Site Activity Handover

Sincerely,

 [Name], Chief of Party
 [Name of Implementing Partner Organization]

Approved:

 [Name], AOR/COR

 Date

 [Name], Mission Environmental Officer

 Date

Copy to:
 Bureau Environmental Officer

Annex 4
ENVIRONMENTAL REVIEW CHECKLIST
FOR IDENTIFYING POTENTIAL
ENVIRONMENTAL IMPACTS
OF PROJECT ACTIVITIES AND
PROCESSES

for [Activity Name]

Implemented under: [*Project Name*]

DCN: [*of Parent IEE*]

Prepared by: [*Implementer*]

ENVIRONMENTAL REVIEW CHECKLIST FOR IDENTIFYING POTENTIAL ENVIRONMENTAL IMPACTS OF PROJECT ACTIVITIES AND PROCESSES

The Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes (ERC) is intended for use mainly by implementing partners to: assess activity-specific baseline conditions, including applicable environmental requirements; identify potential adverse environmental effects associated with planned activity(s) and processes; and develop environmental mitigation and monitoring plans (EMMPs) that can effectively avoid or adequately minimize the identified effects. This ERC can also be substituted for other ERC versions that may have been attached to project initial environmental examinations (IEE). If implementing partners are in doubt about whether a planned activity requires preparation of an ERC, they should contact their Contracting Officer's Representative (COR)/Agreement Officer's Representative (AOR) for clarification. *(When preparing the checklist, please indicate "not applicable" for items that have no bearing on the activity.)*

A. Activity and Site Information

Project Name: <i>(as stated in the triggering IEE)</i>	
Mission/Country:	
DCN of Triggering IEE:	
Activity/Site Name:	
Type of Activity:	
Name of Reviewer and Summary of Professional Qualifications:	
Date of Review:	

B. Activity Description

1. Activity purpose and need
2. Location of activity
3. Beneficiaries, e.g., size of community, number of school children, etc.
4. Number of employees and annual revenue, if this is a business
5. Implementation timeframe and schedule
6. Detailed description of activity and site, e.g., size of the facility or hectares of land; steps that will be taken to accomplish the activity
7. Existing or planned certifications, e.g., ISO 14001 EMS, ISO 9000, HCCP, SA 8000, Global Gap, Environmental Product Declarations, Eco Flower, EcoLogo, Cradle to Cradle, UL Environment, GREENGUARD, Fair Trade, Green Seal, LEED, or various Forest Certifications
8. Site map, e.g., provide an image from Google Earth of the location
9. Photos of site *(when available)*

C. Activity-Specific Baseline Environmental Conditions

1. Population characteristics
2. Geography
3. Natural resources, e.g., nearby forest/protected areas, ground and surface water resources
4. Current land use
5. Proximity to public facilities, e.g. schools, hospitals, etc.
6. Other relevant description of current environmental conditions in proximity to the activity

D. Legal, Regulatory, and Permitting Requirements

1. National environmental impact assessment requirements for this activity
2. Applicable National or local permits for this activity, responsible party, and schedule for obtaining them:

Permit Type	Responsible party	Schedule
Zoning		
Building/Construction		
Source Material Extraction		
Waste Disposal		
Wastewater		
Storm Water Management		
Air Quality		
Water Use		
Historical or Cultural Preservation		
Wetlands or Water bodies		
Threatened or Endangered Species		
<i>Other</i>		

3. Additional National, European Union, or other international environmental laws, conventions, standards with which the activity might be required to comply
 - a. Air emission standards
 - b. Water discharge standards
 - c. Solid waste disposal or storage regulations
 - d. Hazardous waste storage and disposal
 - e. Historical or cultural preservation
 - f. *Other*

E. Engineering Safety and Integrity (for Sections E. and F., provide a discussion for any of the listed issues that are likely to have bearing on this activity)

1. Will the activity be required to adhere to formal engineering designs/plans? Have these been or will they be developed by a qualified engineer?
2. Do designs/plans effectively and comprehensively address:
 - a. Management of storm water runoff and its effects?
 - b. Reuse, recycling, and disposal of construction debris and by-products?
 - c. Energy efficiency and/or preference for renewable energy sources?
 - d. Pollution prevention and cleaner production measures?
 - e. Maximum reliance on green building or green land-use approaches?
 - f. Emergency response planning?
 - g. Mitigation or avoidance of occupational safety and health hazards?
 - h. Environmental management of mobilization and de-mobilization?
 - i. Capacity of the host country recipient organization to sustain the environmental management aspects of the activity after closure and handover?
3. Are there known geological hazards, e.g., faults, landslides, or unstable soil structure, which could affect the activity? If so, how will the project ensure structural integrity?
4. Will the site require grading, trenching, or excavation? Will the activity generate borrow pits? If so, how will these be managed during implementation and closure?
5. Will the activity cause interference with the current drainage systems or conditions? Will it increase the risk of flooding?
6. Will the activity interfere with above- or below-ground utility transmission lines, e.g., communications, water, sewer, or natural gas?
7. Will the activity potentially interfere with vehicle or pedestrian traffic?
8. Does the activity increase the risk of fire, explosion, or hazardous chemical releases?
9. Does the activity require disposal or retrofitting of polychlorinated biphenyl-containing equipment, e.g., transformers or florescent light ballasts?

F. Environment, Health, and Safety Consequences

1. Potential impacts to public health and well-being

- a. Will activities require temporary or permanent human resettlement?
- b. Will area residents and/or workers be exposed to pesticides, fertilizer, or other toxic substances, e.g., as a result of farming or manufacturing? If so, how will the project:
 - i. Ensure that these chemicals do not contaminate ground or surface water?
 - ii. Ensure that workers use protective clothing and equipment to prevent exposure?
 - iii. Control releases of these substances to air, water, and land?
 - iv. Restrict access to the site to reduce the potential for human exposure?
- c. Will the activity generate pesticide, chemical, or industrial wastes? Could these wastes potentially contaminate soil, groundwater or surface water?
- d. Will chemical containers be stored at the site?
- e. Does the activity remove asbestos-containing materials or use of building materials that may contain asbestos, formaldehyde, or other toxic materials? Can the project certify that building materials are non-toxic? If so, how will these wastes be disposed of?
- f. Will the activity generate other solid or hazardous wastes such as construction debris, dry or wet cell batteries, florescent tubes, aerosol cans, paint, solvents, etc.? If so, how will this waste be disposed of?
- g. Will the activity generate nontoxic, nonhazardous solid wastes (subsequently requiring land resources for disposal)?
- h. Will the activity pose the need to handle and dispose of medical wastes? If so, describe measures of ensuring occupational and public health and safety, both onsite and offsite.
- i. Does the activity provide a new source of drinking water for a community? If so, how will the project monitor water quality in accordance with health standards?
- j. Will the activity potentially disturb soil contaminated with toxic or hazardous materials?
- k. Will activities, e.g., construction, refurbishment, demolition, or blasting, result in increased noise or light pollution, which could adversely affect the natural or human environment?

2. Atmospheric and air quality impacts

- a. Will the activity result in increased emission of air pollutants from a vent or as fugitive releases, e.g., soot, sulfur dioxide, oxides of nitrogen, volatile organic compounds, methane.
- b. Will the activity involve burning of wood or biomass?
- c. Will the activity install, operate, maintain, or decommission systems containing ozone depleting substances, e.g., freon or other refrigerants?
- d. Will the activity generate an increase in carbon emissions?
- e. Will the activity increase odor and/or noise?

3. Water quality changes and impacts

- a. How far is the site located from the nearest river, stream, or lake?
- b. Will the activity disturb wetland, lacustrine, or riparian areas?
- c. What is the depth to groundwater at the site?
- d. Will the activity result in increased ground or surface water extraction? If so, what are the volumes? Permit requirements?
- e. Will the activity discharge domestic or industrial sewage to surface, ground water, or publicly-owned treatment facility?
- f. Does the activity result in increased volumes of storm water run-off and/or is there potential for discharges of potentially contaminated (including suspended solids) storm water?
- g. Will the activity result in the runoff of pesticides, fertilizers, or toxic chemicals into surface water or groundwater?
- h. Will the activity result in discharge of livestock wastes such as manure or blood into surface water?

- i. Does the site require excavation, placing of fill, or substrate removal (e.g., gravel) from a river, stream or lake?

4. Land use changes and impacts

- a. Will the activity convert fallow land to agricultural land?
 b. Will the activity convert forest land to agricultural land?
 c. Will the activity convert agricultural land to commercial, industrial, or residential uses?
 d. Will the activity require onsite storage of liquid fuels or hazardous materials in bulk quantities?
 e. Will the activity result in natural resource extraction, e.g., granite, limestone, coal, lignite, oil, or gas?
 f. Will the activity alter the viewshed of area residents or others?

5. Impacts to forestry, biodiversity, protected areas and endangered species

- a. Is the site located adjacent to a protected area, national park, nature preserve, or wildlife refuge?
 b. Is the site located in or near threatened or endangered (T&E) species habitat? Is there a plan for identifying T&E species during activity implementation? If T&E species are identified during implementation, is there a formal process for halting work, avoiding impacts, and notifying authorities?
 c. Is the site located in a migratory bird flight or other animal migratory pathway?
 d. Will the activity involve harvesting of non-timber forest products, e.g., mushrooms, medicinal and aromatic plants (MAPs), herbs, or woody debris?
 e. Will the activity involve tree removal or logging? If so, please describe.

6. Historic or cultural resources

- a. Are there cultural or historic sites located at or near the site? If so, what is the distance from these? What is the plan for avoiding disturbance or notifying authorities?
 b. Are there unique ethnic or traditional cultures or values present in the site? If so, what is the applicable preservation plan?

G. Further Analysis of Recommended Actions *(if the applicable IEE requires the use of ERCs to perform further analysis of recommended actions, then check the appropriate box below. If this analysis is not required, then skip this and proceed with Section H. ERCs, when required by the IEE, will be copied to the Bureau Environmental Officer (BEO).)*

1. Categorical Exclusion: The activity is not likely to have an effect on the natural or physical environment. No further environmental review is required.*

2. Negative Determination with Conditions: The activity does not have potentially significant adverse environmental, health, or safety effects, but may contribute to minor impacts that can be eliminated or adequately minimized by appropriate mitigation measures. EMMPs shall be developed, approved by the Mission Environmental Officer (MEO) and the BEO prior to beginning the activity, incorporated into workplans, and then implemented. See Sections H and I below.*

3. Positive Determination: The activity has potentially significant adverse environmental effects and requires further analysis of alternatives, solicitation of stakeholder input, and incorporation of environmental considerations into activity design. A Scoping Statement must be prepared and be submitted to the BEO for approval. Following BEO approval an Environmental Assessment (EA) will be conducted. The activity may not be implemented until the BEO clears the final EA. For activities related to the procurement, use, or training related to pesticides, a PERUSAP will be prepared for BEO approval.

4. Activity Cancellation: The activity poses significant and unmitigable adverse environmental effects. Adequate EMMPs cannot be developed to eliminate these effects and alternatives are not feasible. The project is not recommended for funding.

***Note regarding applicability related to Pesticides (216.2(e):** The exemptions of §216.2(b)(1) and the categorical exclusions of §216.2(c)(2) *such as technical assistance, education, and training* are not applicable to assistance for the procurement or use of pesticides.

H. EMMPs (Using the format provided below, or its equivalent, list the processes that comprise the activity, then for each, identify impacts requiring further consideration, and for each impact describe the mitigation and monitoring measures that will be implemented to avoid or adequately minimize the impacts. All environment, health, and safety impacts requiring further consideration, which were identified in Section F., should be addressed)\

I. Activity-specific environmental mitigation plan (Upon request, the MEO may be able to provide your project with example EMMPs that are specific to your activity.)

Processes	Identified Environmental Impacts	Do the Impacts Require Further Consideration?	Mitigation Measures	Monitoring Indicators
List all the processes that comprise the activity(s)(e.g. asbestos roof removal, installation of toilets, remove and replace flooring) A line should be included for each process.	A single process may have several potential impacts— provide a separate line for each.	For each impact, indicate Yes or No ; if No , provide justification, e.g.: (1) There are no applicable legal requirements including permits or reporting and (2) There is no relevant community concern and (3) Pollution prevention is not feasible or practical and (4) Does not pose a risk because of low severity, frequency, or duration	For each impact requiring further consideration, describe the mitigation measures that will avoid or adequately minimize the impact. (If mitigation measures are well-specified in the IEE, quote directly from IEE.)	Specify indicators to (1) determine if mitigation is in place and (2) successful. For example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)

2. Activity-specific monitoring plan

Monitoring Indicators	Monitoring and Reporting Frequency	Responsible Parties	Records Generated
Specify indicators to (1) determine if mitigation is in place and (2) successful (for example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)	For example: “Monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID COR/AOR.”	Separate parties responsible for mitigation from those responsible for reporting, whenever appropriate,	If appropriate, describe types of records generated by the mitigation, monitoring, and reporting process.

I. Certification of No Adverse or Significant Effects on the Environment

I, the undersigned, certify that activity-specific baseline conditions and applicable environmental requirements have been properly assessed; environment, health, and safety impacts requiring further consideration have been comprehensively identified; and that adverse impacts will be effectively avoided or sufficiently minimized by proper implementation of the EMMP(s) in Section G. If new impacts requiring further consideration are identified or new mitigation measures are needed, I will be responsible for notifying the USAID COR/AOR, as soon as practicable. Upon completion of activities, I will submit a **Record of Compliance with Activity-Specific EMMPs** using the format provided in Annex 1 or its equivalent.

Implementer Project Director/COP Name

Date

J. Approvals:

USAID COR/AOR Name

Date

Mission Environmental Officer Name

Date

Distribution:

- Project Files
- Bureau Environmental Officer